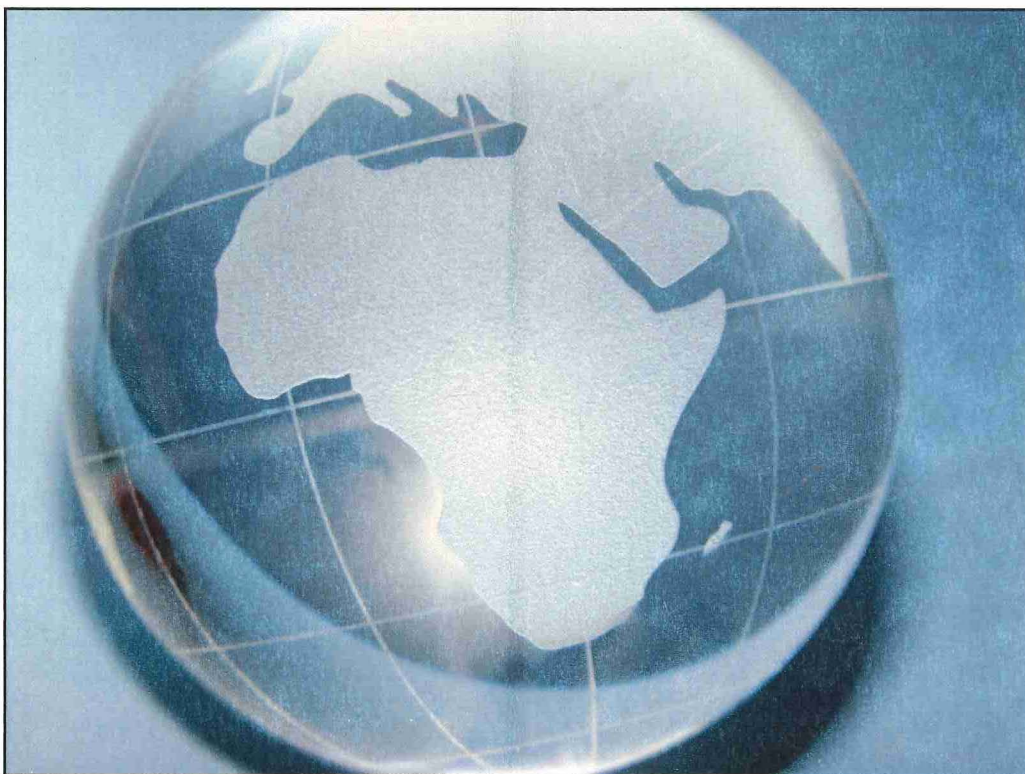


UNIVERSITY OF MINNESOTA



Where in the World are We Going?

Report of the International Working Group

January 2008

January 15, 2008

MEMORANDUM

TO: President Robert Bruininks

FROM: Meredith McQuaid
Associate Vice President and Dean
Office of International Programs

RE: Report of the International Working Group

In April 2007, Robert Jones and I were asked to design a five-year plan identifying specific steps to address gaps in our internationalization efforts (Exhibit 1). Specifically, we were asked to prepare a statement defining how the University would move from the task force recommendations of 2006 to an action plan (the executive summary of the task force report is attached as Exhibit 2).

Working with a committee of nine individuals with substantial international experience from across campuses and disciplines, the International Working Group¹ (IWG) identified:

- 1) international academic initiatives the University might pursue to focus efforts, inspire research, and generate positive energy at home and abroad;
- 2) responsibilities the international programs office must assume to both *strategically* position ourselves as an international University and *tactically* coordinate and integrate our internationalization efforts; and
- 3) risk and liability issues that must be addressed, or at least considered, as the University's international engagement grows.

International Academic Initiatives (IWG Subcommittee A²)

Chaired by Assistant Vice President Allen Isaacman, this subcommittee met with deans, associate deans, and faculty engaged in international teaching and research across the University. Based on their extensive consultations, five broad themes have emerged that would provide opportunities for the University to engage globally, act locally, and potentially contribute to the advancement of social and scientific problems affecting the planet. (The full report is attached as Exhibit 3.) The themes identified are: (1) social, physical, and ecological consequences of climate change; (2) sustainable human livelihoods and global change; (3) global frameworks for human health, environments, and ecosystems; (4) human rights, responsibilities, and global justice; and (5) race, ethnicity, and migration.

¹ IWG Committee members: J. Bowman, F. Cerra, P. Hudleston, A. Isaacman, R. Jones, M. McQuaid, T. Schumacher/S. Rafferty, K. Sellew, J. Vreyens

² Subcommittee A members: A. Isaacman (Chair), J. Bowman, K. Brown, R. Duvall, J. Eicher, R. Okediji, K. Sellew, N. Young

It is recommended that one or more of these themes be selected as a basis for specific and aggressive international engagement. Naturally, other international work will occur beyond that associated with a University mission, but a cause around which our community could rally, and which could evolve over time, may inspire deeper multidisciplinary and multicultural engagement.

Management/Coordination of International Efforts (IWG Subcommittee B³)

The lack of any demonstrable intention to internationalize; the failure to determine what that means, and how it might be achieved is a **strategic** issue. The lack of coordination and oversight of international activity is a separate **tactical** issue. The University needs a central office with the responsibility and authority for both; without it we cannot reach our goal of becoming a world class, public research institution.

It makes sense to address the tactical issues first, because they are immediate and present, even in the absence of a well-articulated international strategy. Currently, the Office of International Programs (OIP) does an excellent job of managing international student mobility, but it lacks the mandate and the resources to do more. At the present time, there is no single central office through which academic or administrative units explore, initiate, or administer international activity. Programs are conceived, born, raised, and terminated in a *laissez faire* fashion. Faculty and academic units interested in beginning or expanding an international initiative are expected to develop, in a vacuum, their own protocols and best practices. The resulting lack of uniformity and the missed opportunities for collaboration are serious problems for a University so broadly engaged in teaching, research, and educational opportunities abroad.

The University lacks oversight of international efforts and knowledge of where in the world we are and what we are doing there. Currently, information about international activities is collected and maintained only informally, aided by the administration of a small but consistent grants program. That data is woefully inadequate and outdated. The plethora of MOUs and MOAs signed with institutions around the globe is redundant, inefficient, and ineffective; the complete lack of oversight—legal and otherwise—is surely exposing the University to heightened risk.

International efforts across the University must be supported and integrated at a central level. This subcommittee recommends that OIP should be given the mandate to develop an informed internationalization strategy and the resources to implement it. The strategy should be the product of discussions among the leadership of this institution⁴. Tactics for

³ Subcommittee B Members: M. McQuaid (Chair), F. Cerra, M. Houston, R. Jones, J. Vreyens.

⁴ “[I]nternationalization in American institutions of higher education...may be opportunistic, growing out of specific isolated initiatives; or it may be a more coherent portfolio of activities undertaken as a result of some level of institutional planning...[b]ut it is important for those who wish to understand and work with American institutions...which one dominates.” J. Edwards, Challenges and Opportunities for the Internationalization of Higher Education in the Coming Decade: Planned and Opportunistic Initiatives in American Institutions, *Journal of Studies in International Education*, Vol. 11, No. 3/4 Fall/Winter 2007.

implementation should include the responsibility to: 1) develop and implement policies and procedures regarding the initiation and development of international activities; 2) develop expertise and resources that will assist faculty and academic units beginning or expanding an international venture, including but not limited to legal, logistical, and cultural; 3) convene an International Programs Council that shall recommend, review, or concur in the creation or modification of internal policies and practices; create and recommend templates for international agreements; and serve as the vehicle through which internationalization policies shall be communicated to academic and administrative units; and 4) create a database of past and current international engagement, which shall include conference, teaching, exchange, and research activity for faculty, as well as information about student mobility and experiences abroad.

Without these or similar changes, the current *laissez faire* approach will continue, as will the potential for wasted resources and increased liability.

Risk and Liability (IWG Subcommittee C⁵)

Drawing on the expertise and perspective of University officers in the business of assessing risk and liability, and chaired by Professor Peter Hudleston, this subcommittee has compiled a comprehensive list of risks and liabilities associated primarily with University activities outside of the U.S. Issues related to hosting international students and faculty are also included.

Recognizing that the level of international engagement by the University will likely increase significantly, the subcommittee identified four broad categories of risks: lack of adequate tracking and contact information, failure to comply with U.S. and foreign laws and regulations, University liability, and miscellaneous compliance concerns. The subcommittee then evaluated the extent to which the risk or liability was being addressed through color coding. The chart (attached to the full report of the subcommittee as Exhibit 4) is not merely eye-popping, but eye-opening. This may be the most comprehensive look at the potential for liability associated with international endeavors ever assembled at this University and provides much food for thought.

The recommendations of this subcommittee are: 1) outline core roles and responsibilities of OIP, colleges/campuses, departments, and individuals; 2) improve international databases on students and faculty engaged in individual or group activities abroad, and on international activities; 3) provide for systematic review and support of new international programs; 4) improve the OIP website by adding more comprehensive information on policies and procedures; and 5) form a standing committee to assess and prioritize issues of risk and liability and make policy recommendations/decisions in areas not covered by existing policies.

⁵ Subcommittee C Members: P. Hudleston (Chair), D. Amundson, E. Anderson, G. Klatt, S. Rafferty, D. Skovsted

Exhibit 1

April 4, 2007

MEMORANDUM

TO: President Bruininks
Kathy Brown
Frank Cerra
Robert Jones
Tim Mulcahy
Copy: Tom Sullivan
Rusty Barcelo

FROM: Meredith McQuaid

Thank you for meeting with me yesterday to discuss the University's international programs and our goals for the future. The discussion was informative and stimulating. I am writing to confirm my understanding of next steps in the process of internationalizing the University.

1. Robert Jones and I will put together an International Working Group to establish a five-year plan which would identify specific steps to address: i) academic initiatives, ii) management/coordination of international efforts across the University, and iii) risk and compliance issues. (Frank Cerra offered to be part of that group.)
2. The International Working Group shall be charged with the task of preparing a statement (2-3 pages) of the key strategic issues that need to be addressed in order to move from the Task Force recommendations to a plan of action.
3. Among the strategic issues to be addressed is identification of two or three global problems on which this University might choose to focus as a means of working cross-discipline and on our coordinate campuses to become an international leader (e.g., health, environment, finance). The selection of areas of focus should rely on the efforts we already know to exist within the University and build on international relationships already in place.
4. Begin to think about and pursue public and private funding opportunities for international initiatives and programs. Work with the UM Foundation to develop a 2-5 page case statement on how and why to fund internationalization efforts which could be used in the University's next stage of private development.
5. Continue efforts to internationalize our campuses, but specifically work to dramatically improve the yield of international undergraduates at the University of Minnesota Twin Cities campus by working with the Admissions Office to improve the process. Please let me know whether Kathy Brown or someone else can assist with the initial discussions with the Admissions Office.

Please advise if I have either misunderstood or failed to include any of the steps we discussed. I value the insight and experience you can provide. It is my pleasure to work with you on the goal of further internationalizing the University.

Exhibit 2

Transforming the University

Systemwide Academic Task Force on Forging an International University

Submitted on behalf of the Task Force by:

**Allen Isaacman, Regents Professor of History and Director, ICGC
Ruth Okediji, William L. Prosser Professor of Law
Co-Chairs of the Task Force**

Date: January 31, 2006

I. EXECUTIVE SUMMARY

Mission

- (1) To formulate recommendations regarding how to develop a strategy, plan, and structure to most effectively leverage, stimulate, and coordinate cutting edge international research and globally informed teaching and public engagement programs with selected partners in other countries
- (2) To address strategies for building strategic international partnerships with universities and institutions, expansion of study abroad and international scholarly exchanges, and internationalization of the curriculum.

Deliverables

- An accounting of the University of Minnesota's relative advantages - its current strengths- that could position it to become a major global university.
- Recommendations regarding success in recruiting and educating students from around the globe to achieve the University's full potential as a global university.
- Recommendations regarding how to overcome current academic and institutional divisions to create a new synergism among scholars and students at this University who are exploring significant international issues, including how to create more globally competent faculty, staff, and graduates.
- Recommendations regarding how to position the University to become a node of excellence in the emerging global network of knowledge production and circulation and connect more effectively with transnational research institutions.
- Recommendations regarding how to effectively integrate the international experience of undergraduate, graduate and professional degree students with international students and scholars on campus, with the relevant work that faculty are doing, and to connect them with the larger community beyond the University.
- Recommendations regarding what organizational structure would best support the above mission and deliverables.

Task Force Members

Co-Chairs: Allen Isaacman (Regents Professor of History and Director, ICGC) and Ruth Okediji (William L. Prosser Professor of Law). Task Force Members: Gene Allen (Associate Vice President, Office of International Programs), Ron Aminzade (Professor, Department of Sociology), Michael Barnett (Harold Stassen Chair of International Relations, Hubert H. Humphrey Institute of Public Affairs), Jack Bowman (Dean, School of Fine Arts, University of Minnesota Duluth), Evelyn Davidheiser (Director, Institute for Global Studies), Ian Greaves (Associate Professor, Environmental Health Sciences, School of Public Health), Peter Hudleston (Associate Dean of Student Affairs, Institute of Technology), Olivia LeDee (Graduate Student Fellow, Conservation Biology), James Perry (Professor, Department of Fisheries, Wildlife, and Conservation Biology), Karen Brown Thompson (Associate Director, ICGC), Char Voight (Staff)

Recommendations

To become one of the top three public research universities in the world, the University of Minnesota must become a global university. This demands that internationalization, diversity, and academic excellence be inextricable intertwined and central to the University's core mission. Two critical trends make the internationalization of the university a necessity. We live in an increasingly internationalized world. As the world is becoming internationalized, so too is the production of knowledge to understand that world. These twin trends have major implications for the University's identity and mission – it must develop a global orientation and realize its place in a developing global network of engagement and scholarship. The University must be situated to provide expertise for practical action in fostering global social and economic change.

To forge a truly international university, three immediate and indispensable steps are required:

- An explicit stamp of approval by the President, through a Presidential Initiative, affirming the centrality of international concerns to the University's stated goal.
- Appointment of an internationally renowned scholar with demonstrated leadership abilities as Vice President and Dean for International Programs with responsibilities to direct, oversee, and sustain the internationalization of the university.
- An initial three-year, \$6 million budget that would transform teaching, research, and public engagement programs. We anticipate that this \$6 million would generate significant external support. The first tranche of this budget would be used to create high priority, high impact programs such as developing international partnerships, cross-disciplinary and cross-collegiate collaborations on global issues, and cluster hires on international themes.

These immediate commitments would be used in the following broad categories of activities and would require recurring funds that should grow over time:

- Student support (e.g., targeted non-resident tuition scholarships to support international exchange, scholarships for undergraduate study abroad; graduate fellowships for international students working in priority interdisciplinary areas; grants for international internships/research opportunities for undergraduate and graduate and professional students, and on-campus internationalization programs for those not directly participating in learning abroad experiences).
- Faculty support (e.g., cross-disciplinary, cross-collegiate faculty research circles; international symposia; intercollegiate competitive research grants).
- Curricular development (e.g., OIP faculty travel grant supplement for curriculum integration; small grant programs for individuals and departments to develop and implement international course content and programming).
- International network development (e.g., travel and expenses for planning meetings, development of collaborative seminar series, visiting post-doctoral fellowships).
- Technology and infrastructure (e.g., development of an international database of students, faculty, alumni; appropriate staff support to sustain this infrastructure).

I. INTRODUCTION.

To become one of the top three public research universities in the world, the University of Minnesota must become a global university. This demands that internationalization, diversity, and academic excellence be inextricable intertwined and central to the University's core mission.¹ Two critical trends make the internationalization of the university a necessity. We live in an increasingly internationalized world. Expanding and tightening connections between states, societies, and peoples have made the world more integrated and complex. This increasingly interdependent world means that individuals are more vulnerable to events that occur in distant places, that national problems are now global problems, and that these global problems require global solutions. Challenges such as global climate change, natural resource and food security, economic development, terrorism, and health pandemics can only be addressed through sustained, disciplined scholarly debate that reflects the interests and ideas of diverse groups located in different parts of the world.

As the world is becoming internationalized, so too is the production of knowledge to understand that world. Knowledge production increasingly operates in a world without borders. We are witnessing the dissolution of traditional disciplinary boundaries. Issues that once were discrete now demand interdisciplinary attention. No single perspective can grasp the complexity of a globalizing world that some see as marking progress towards the possibility for all to achieve the good life, and others see as creating even more intransigent differences, inequalities, and violence. We are seeing the emergence of a transnational community of scholars who are increasingly collaborating across territorial boundaries and applying their findings to diverse settings. This reconfiguration of the scholarly landscape has far-reaching consequences for research, teaching, and public engagement.

These twin trends have major implications for the University's identity and mission. It must develop a global orientation and realize its place in a developing global network of engagement and scholarship. It must demonstrate an uncompromising commitment to international concerns; weave the international into the very fabric of its institutional objectives, processes, and core values; and recognize that international concerns are not an accessory to the University's mission but instead are at its core. It must invest in the creation of an institutional framework that nurtures interdisciplinary knowledge production, and provide the resources to encourage continuing engagement in global affairs. Although this is a major challenge for the University, it also is an incredible opportunity - an opportunity that must be seized if the University is to maintain its current standing and realize its aspirations.

This is not the first time the University of Minnesota has established a Task Force to consider how it should both relate to an increasingly interdependent world and global concerns.² However, this *is* the first time that the University of Minnesota has determined to pursue an unprecedented course to become one of the top three public research universities.³ Great

¹ The goal of transforming the University into one of the top three public research universities will depend and reflect upon the successful implementation of the recommendations of the PreK-12 Strategy and Diversity Task Forces.

² See Appendix F for a list of previous reports which the Task Force consulted.

³ In a December 5, 2005 *MN Daily* opinion piece, President Bruininks made the following connections between internationalization and becoming a leading educational institution: "Internationalization is a key element of our strategic positioning strategy to transform the university into one of the three best in the world. As president, I am committed to making

universities have an impact on the world. They provide expertise for practical action fostering global social and economic change and are a place for sustained public debate. Our extensive meetings and discussions have left us firmly convinced that if the University leadership confronts the challenges and acts on the recommendations contained in this Report, the community of faculty, staff, students, and beyond will embrace it.

II. RESPONSE TO DELIVERABLES

The University must identify what distinguishes it from other research institutions and consider how that distinction should shape the organization of international activities. We propose to extend the "The Minnesota Model" from the local to the global. The University of Minnesota is a land grant institution with a long and distinguished tradition of scholarship and public engagement. Many faculty are increasingly studying how global forces are shaping the lives of individuals in their diverse circumstances and experiences. But we must go beyond chronicling these changes and diversities – it must also become globally engaged and seek ways to ensure that its research improves the circumstances of individuals, peoples, and societies. Because of the University's distinctive and rich history, it has the possibility of becoming a platform for global action, a development that would bring visibility and stature to the University.

To press successfully toward the goal of becoming a top three institution, the University must better leverage current disciplinary strengths in the study of global issues; support cross-disciplinary and cross-collegiate international initiatives; pursue a network of external partnerships/alliances with research organizations and other institutions in strategic regions of the world; emphasize international experiences of students, faculty, and staff; and structure institutional processes and programs to accommodate, encourage, and facilitate research and study of global issues.

Deliverable 1: An accounting of the University of Minnesota's relative advantages – its current strengths – that could position it to become a major global/international university.

A comprehensive University. The University of Minnesota, as an institution, has a solid foundation on which to build. It is one of the most comprehensive universities in the world. In addition to a set of strong core colleges it also has an outstanding array of professional schools, and a comprehensive Academic Health Center. This foundation must be sustained by ensuring that each college and school maintains the highest standards of research, scholarship and teaching as it addresses global issues.

Faculty expertise on critical global issues. The University has a distinguished set of scholars and college-led initiatives addressing many of the critical issues of our time.⁴ Faculty and staff are active throughout the world, advancing knowledge in the natural and biological sciences; social sciences; and humanities and arts. They bring recognition to the University and the state, enrich the curriculum and research agendas, and address many of the central issues of the day, including food production, human rights and effective democracy, public health, and

the University a global leader in education and research and offering our students an education that prepares them to be full citizens of a world that transcends national borders" (p. 9A).

⁴ The task force was charged with a macro-level analysis which, combined with limitations in the length of the task force report, do not allow us to fully enumerate the many on-going initiatives currently underway at the collegiate level. However, it should be noted that there are many such innovative programs and projects which should be supported and expanded in keeping with the recommendations outlined in this report.

environmental policy. In the biological and physical sciences, the University has considerable expertise in studies of environmental change, both local and global, modern and historical. It has made international headlines, for example, with the development of an efficient hydrogen fuel cell. In other critical areas such as gender studies, comparative literature, and the historical dimensions of globalization, the University has already developed concentrations of academic excellence. There are scholars at this University who are also well known for developing knowledge regarding the rules, norms, and laws that are being developed and refined to manage complex global relations.

A tradition of forward-thinking approaches to global studies. The University currently enjoys the advantage of being “ahead of the curve” in the approach its scholars and students take in international studies. Many leading universities that have reputations for excellence in international studies have concentrated on, and built upon, area studies, building expertise on particular regions or countries. Over the last fifteen years, however, there has been a major shift away from area studies and toward a more genuinely “global” version of international studies. Such an alternative approach has created analytical space to interpret and explain the complex, varied, and at times contradictory ways that the global and local shape each other. While area studies-oriented programs are struggling to retool, the University’s traditional interest in bringing strong area-based knowledge to bear on global issues that transcend historically defined world regions marks it as a site of leadership and innovation.

Strong emphasis on, and preference for, multidisciplinary. As one of the most comprehensive universities in the world, the University enjoys a comparative advantage in establishing leadership in selected areas of major global importance that require broad, interdisciplinary inputs. Programs such as the Interdisciplinary Center for the Study of Global Change (ICGC), the Water Resources Center, the Center for International Food and Agricultural Policy (CIFAP), and the Institute for Mathematics and its Applications (IMA) are examples of cutting edge interdisciplinary and cross-cultural programs that advance knowledge production and create global linkages. The Politics of Population collaborative in the newly formed Institute for Advanced Study brings together epidemiologists, historians, demographers, and practicing artists to explore issues of genocide, disease, and diasporic identity. These and other initiatives provide important institutional centers of gravity and promote a valuable synergy among faculty, students, and staff engaged in the study of global issues. We can and must follow the lead of these innovative programs and initiatives. The University has a competitive and comparative advantage in the study of various global issues, including public health, technological innovation, cultural globalization, global governance, and gender studies, and can establish itself at the frontiers of research and public education.⁵

Strong demand and interest by faculty and students in the study of global issues. Faculty, staff, and students at the University share a deep commitment to international issues. Undergraduates desire to attend a global university because they know that international events affect their lives, and that their career prospects depend on being globally competent. The faculty is highly internationalized, representing virtually every continent and region of the world. In addition,

⁵ A strategic focus on specific regions/countries is critical for deepening academic ties and providing multi-purpose, cross-disciplinary platforms to pursue region-specific studies for a diverse range of scholars, students and researchers. The China Center is a model program in this regard.

almost all of our faculty members, whatever their discipline, operate in a professional world that is fully international.

Well-established study abroad programs with nationally recognized leadership. The University of Minnesota offers a strong and expanding range of opportunities for students seeking an international experience as part of their education. At the center of this all-University initiative are the efforts of the study abroad offices on all four campuses. Over the last five years, they have worked with colleges, advisers and faculty to increase study abroad enrollment by 172%. This sharp increase in study abroad enrollment is particularly notable because it has been demonstrated that the graduation rate is increased among students with study abroad experience (see Appendix M).⁶

Connections to business and arts communities. The location of the University's main campus in the Twin Cities (UMTC) offers excellent opportunities to expand the global character of our institution and to connect scholarship with the community in meaningful ways. There are approximately 19 Fortune 500 companies with headquarters or major operations in the Metropolitan Area. A global university is critical to the continuing success of the Minnesota economy, and important political and economic constituencies are vested in supporting a truly global institution. The Twin Cities is also the home of world renowned arts institutions such as the Guthrie Theater, the Walker Art Center, two world class orchestras, and a range of multicultural arts organizations. Cooperative programs between the University and business and arts organizations already exist and should serve as a platform for further internationalization.

The State's changing demography. The University's desire to internationalize receives added impetus and tremendous support from the wider community, which is increasingly culturally diverse. Over the last two decades, there have been significant demographic shifts in the state of Minnesota resulting in rapid growth in many immigrant populations, particularly within the Hmong, Latino and African communities. Many new immigrants have settled in the Twin Cities and surrounding suburbs. Increasing numbers of immigrants have also relocated to rural communities such as those adjacent to the Morris and Crookston campuses.

Deliverable 2: Recommendations regarding success in recruiting and educating students from around the world to achieve the University's full potential as a global university.

Recruit more international students and address disincentives caused by financial and other academic barriers. To become a major global university, the University of Minnesota must recruit the best and brightest students from across the globe. Students recruited internationally, as well as those from new immigrant communities in Minnesota, bring different voices, experiences, and theoretical perspectives which enhance the diversity and excellence of our campuses. Many of these students, who will become future leaders and opinion makers throughout world, will greatly enrich the University's role and reputation as a global educator. The University must increase international student enrollment, particularly emphasizing our international undergraduate enrollment which is presently the lowest in the Big Ten (see

⁶ See Appendix H for study abroad statistics. Surveys have found that 82% of University seniors view study abroad as desirable and realistic, and 71% of faculty and academic advisors who have actively participated in study abroad integration efforts strongly encourage their undergraduates to study abroad (University of Minnesota Curriculum Integration Evaluation Surveys and Program Assessments, see <http://www.umabroad.umn.edu/ci/stats/surveys/index.html> for complete survey results and additional data).

Appendix L). Toward this end, we propose the following initiatives: (1) provide non-resident tuition scholarships for international undergraduate students;⁷ (2) coordinate international student recruitment efforts across the University system; (3) offer ESL support, including courses for graduate and professional students and funding that enables non-matriculated students to take ESL courses before beginning their graduate or professional program; (4) strengthen our international alumni network and hire more professional overseas recruiters; (5) offer joint degree programs that enable international students to complete part of their required coursework at their home institutions.

To increase the number and support of graduate and professional students, we recommend the following two additional initiatives: (1) provide recurring fellowship support for graduate and professional students; and (2) create “sandwich” programs that enable international graduate and professional students to study at the University of Minnesota for a year as part of their education.

Deliverable 3: Recommendations regarding how to overcome current academic and institutional divisions to create a new synergism among scholars and students at this University who are exploring significant international issues, including how to create more globally competent faculty, staff, and graduates.

The University’s centrifugal approach to international studies is a result of a lack of coordination, different priorities among units/colleges, and the absence of a strong and coherent university vision. Consequently, the whole does not reflect the excellence of its component parts. This must change – and change begins at the top. Our work on this task force has convinced us that strong leadership from central administration will be followed by the faculty, staff, students, and broader community who are ready, willing and eager to move in this direction.

In order to create a central vision and enhance coordination across the institution, we recommend that central administration adopt the following initiatives:

- Make a concrete commitment to promote internationalization by requiring all academic units assign international programs to an assistant or associate dean with international programs, include a section on international programs in their compacts, and integrate international concerns in the evaluation of academic administrators such as deans, chairs and heads.
- Appoint a Vice President and Dean for International Programs with demonstrated leadership abilities who will provide the vision and direction for this new initiative.⁸ This new Vice President, in collaboration and close consultation with senior administrators, collegiate deans, faculty, staff and students across the University system, will determine which key global issues or themes should be targeted for study by the University, and help coordinate on-going collegiate and all-University initiatives.

⁷ At present, the University of Minnesota-Twin Cities campus is one of only three Big Ten institutions without a formal policy of financial aid for international undergraduate students (see Appendix L). In contrast, the coordinate campuses do not charge out-state tuition for international students, and a number of other Minnesota colleges and universities offer financial incentives to recruit international students (see Appendix K).

⁸ This recommendation is not intended to create a second position in addition to that of the Associate Vice President for International Programs, but rather to enhance the position for which a search is currently underway.

- Allocate significant resources for the promotion of cross-disciplinary and cross-collegiate research on pressing global issues. Funds should be used to promote University-wide symposia or conferences, intercollegiate and international research and teaching, and public engagement collaboratives.
- Provide incentives to encourage "cluster hiring" of faculty across units to expand expertise in priority areas identified as the University's international focus.⁹ Academic units receiving such assistance in hiring should be required to incorporate international perspectives in job descriptions, interview and hiring practices, and evaluation systems.
- Develop a centralized database of the international research, teaching, and exchange activities of the University, to serve as an invaluable resource to foster collaborative projects and external communications. Strong central leadership at the level of the President and senior administrators is necessary to achieve a high level of participation in collecting, communicating and regularly updating this critical information. The existence of such a database would also fill another crucial gap at the University of Minnesota: the ability to communicate to internal and external audiences what we are doing in the international realm. The University does not effectively "tell its story" and having this information would help it to do so.

Deliverable 4: Recommendations regarding how to position the University to become a node of excellence in the emerging global network of knowledge production and circulation, and connect more effectively with transnational research institutions.

In order to become a node of excellence in the emerging global network of knowledge production and to connect more effectively with transnational institutions it is imperative that we develop a set of sustainable global partnerships with a few critically placed institutions that share our broad vision and research and teaching priorities. To be successful, these must be deep symmetrical partnerships.¹⁰ Each institution would bring significant scholarly resources and would collaborate on research, teaching, and curricular development in global education. This two-way movement of faculty and students would include visiting professorships, faculty exchanges, shared research projects, coordinated curricular development, student exchanges,

⁹ Cluster hires are an effective way to establish the expertise needed to strengthen interdisciplinary efforts addressing major global issues. One approach involves the Chief International Officer (CIO) in defining and filling a number of faculty positions in different colleges each year. The CIO works with deans on job descriptions and funds one-quarter to one-third of each position for the first three years with remaining funding coming from sources such as the collegiate dean, provost or one of the international centers at the institution.

¹⁰ The task force identified three criteria for selecting potential sites for international partnerships: (1) where the University already enjoys deep and sustained relationships; (2) where these relationships emphasize the academic priorities, key interdisciplinary themes, and core missions of the University; and 3) where the site is centrally-located and part of a regional and global network. Although the task force believes that the actual sites should be selected by the new Vice President for International Programs in consultation with her or his leadership/advisory team, it did identify three countries that met these criteria: (1) China (including Taiwan and Hong Kong): the University already has extensive investments, leadership, and academic programs in place, such as exchange programs in CSOM, Law, and Public Health and substantial connections through the China Center. China is also home to a large network of active alumni who can assist in leveraging and expanding existing connections; (2) South Africa: The University has substantial linkages to a large network of alumni currently on faculty at several key institutions in the country. Numerous University faculty also have significant relationships with institutions in South Africa which could be further leveraged; and (3) India: Over the next decade, India will emerge to play a critical role in global issues, creating a compelling reason for the University to enhance and expand relations with the country. Several schools in the AHC have established a network of relationships with academic and clinical institutions in India, and a large number of faculty at the University retain strong intellectual ties to the subcontinent which can serve as a basis for ongoing collaborative research. China, South Africa, and India also hold great promise as potential nodes connecting institutions throughout their respective regions with University of Minnesota faculty and students. In addition, based on the criteria outlined above there are several other promising countries that merit serious consideration, including Turkey, Germany, and Mexico.

joint advising, and the issuance of joint degrees. In the first instance, we would build on existing institutional relationships and professional ties between our faculty and colleagues abroad. Creating these deeper institutional alliances must not preclude the continuation of less formal scholarly ties between those on our campuses and international colleagues; indeed, many of these informal connections might become the basis for deeper partnerships between the University and other institutions.

To achieve this objective, we recommend the following specific activities:

- Creating faculty research circles to encourage collaborative, interdisciplinary work on global themes among University of Minnesota faculty and their global partners. These research circles would bring faculty together for a period of sustained interaction around a theme of common interest and across disciplinary lines to explore innovative research agendas and develop collaborative perspectives. Research circles would engage in undertaking a common reading and discussion agenda, providing feedback on works-in-progress, and authoring joint grant proposals for support of collaborative research initiatives. The circles would also develop a collaborative seminar series with the aim of driving innovative research and teaching. These seminars would involve students and faculty from partner institutions and focus on interdisciplinary themes varying each year. Communications technologies would be used to facilitate long-distance collaborative learning and joint research, and to coordinate electronic exchange among network partners.
- Holding annual international symposia addressing key themes relating to global change that draw upon the strengths and expertise of faculty at each institution. These symposia would address cutting-edge research agendas with the objective of producing publications, artistic, theatrical and musical productions, new courses and pedagogical approaches, faculty research grants, and other collaborative projects.
- Providing visiting scholarships for faculty and postdoctoral and graduate fellowships to prepare scholars for research and teaching related to the complex issues associated with global change. Faculty exchanges would allow faculty to spend time at partner institutions conducting research, participating in faculty seminars, using library resources, and receiving feedback on works in progress. Postdoctoral and graduate fellowships would provide exchange opportunities for students with broad, interdisciplinary research interests in the humanities, social sciences and natural sciences relating to global change.
- Forming interdisciplinary research teams to engage in collaborative field work. These interdisciplinary research teams would focus on pressing global issues such as food security, water and energy resources, environmental degradation, and human rights and global governance. It is anticipated that much of this work would occur in different local, national, and international sites, and could provide empirical data that would complement research and teaching done on campus.
- Developing and sustaining curriculum, including language programs, that support these partnerships.

Deliverable 5: Recommendations regarding how to effectively integrate the international experiences of undergraduate, graduate and professional degree students with international students and scholars on campus, with the relevant work that faculty are doing, and to connect them with the larger community beyond the University.

Continue to integrate study abroad programs into the curriculum and degree requirements to reach our target of 50% participation. The Board of Regents recognizes that students who study abroad and international students “play an essential role” in the education of “creative and useful” citizens. International experiences also are integral to graduate and professional development. As knowledge production becomes increasingly global, the research experiences of graduate students, their roles in international collaborative research networks, and how those experiences prepare them for leadership in academic institutions and national, international and transnational organizations become even more critical.

The University is making substantial progress towards its goal that 50% of its undergraduates should participate in study abroad.¹¹ Additional progress can be made by: (1) expanding study abroad scholarships in size and number; (2) establishing a more diverse range of opportunities for short-term study abroad experiences; (3) ensuring that adequate course offerings exist for languages and cross-cultural communications needed by students who plan to study abroad; and (4) better integrating study abroad into students’ overall educational experience and into major degree requirements. The University must continue to advance the enrollment of more students of color in international learning opportunities by providing resources and assistance to such students.

Expand the scope of international experiences on the University campus. To adequately prepare all students for global citizenship, the University must create international experiences for those who remain on campus. Examples of international, intercultural opportunities for the 50% of undergraduates who will not study abroad include: (1) revising the liberal education requirements so that student transcripts reflect co-curricular activities that provide an international experience component for undergraduate education (e.g. community service learning internships with immigrant communities or local organizations with an international emphasis); (2) bringing a stronger international dimension to campus through support of existing initiatives involving faculty, staff and students¹² (3) increasing outreach to, and collaboration with, new immigrant populations in Minnesota; and (4) providing expanded language curriculum for graduate and undergraduate students.

Deliverable 6: Recommendations regarding what organizational structure would best support the above mission and deliverables.

It is critical that the University create a centrally coordinated and well-funded all-University initiative to internationalize research, teaching, and public engagement at the University of Minnesota. This requires a unified and powerful vision, and a coherent institutional structure which maps new directions in international education and research, and weaves strong individual

¹¹ Currently the Morris campus at 37% is closest to reaching this goal and Crookston at 6% furthest from it. On the other campuses, 28% of the students at Duluth and 25% of students in the Twin Cities study abroad, in both cases up substantially from ten years ago (see Appendix H).

¹² Examples of such initiatives include the “Culture Corps” program, the “Small World Coffee Hour,” and biennial international festivals such as the Italian-American Festival 2004, hosted by the Duluth Campus.

programs into an integrated whole. We must conduct a comprehensive review of current international programs and reporting structures. With the substantial infusion of new funding the office of the new Vice President and Dean for International Programs should provide this leadership. To drive this agenda, elevating this position to the level of Vice President and Dean is critical in order to ensure that this person is a partner in decision making processes at the highest level. This position must be filled by an internationally renowned scholar empowered through title and sufficient resources to be a real partner with colleges in international program initiatives.

Expanded funding essential to making international programs a serious university priority should be framed as a significant "Presidential Initiative" because international issues cross all disciplines and all academic units on all coordinate campuses. A major portion of this funding should come as an infusion of resources from central administration. The budget should grow incrementally as we take on new global initiatives. The Vice President and Dean would be expected to seek external funding as well, through the University of Minnesota Foundation, as well as governmental and private sources. Current recurring resources and structures for international programs are inadequate to support and sustain a global initiative that is indispensable for a university that strives to be among the top three public research universities in the world.

III. Recommendations for prioritizing deliverables

The following recommendations are intended to help the University succeed at its stated mission of becoming a one of the top three public research universities in the world. Three immediate and indispensable steps are required:

- An explicit stamp of approval by the President, through a Presidential Initiative, affirming the centrality of international concerns to the University's stated goal.
- Appointment of an internationally renowned scholar with demonstrated leadership abilities as Vice President and Dean for International Programs with responsibilities to direct, oversee, and sustain the internationalization of the University in cooperation with senior administrators and collegiate deans.
- An initial three-year, \$6 million budget that would transform teaching, research, and public engagement programs.¹³ We anticipate that this \$6 million dollars would generate significant external support. The first tranche of this budget would be used to create high priority, high impact programs such as developing international partnerships, faculty research support which prioritizes cross-disciplinary and cross-collegiate collaborations on global issues, and cluster hires on international themes.

These immediate commitments would be used in the following broad categories of activities and would require recurring funds that should grow over time:

- Student support (e.g., targeted non-resident tuition scholarships to support international exchange, scholarships for undergraduate study abroad; graduate fellowships for international students working in priority interdisciplinary areas; grants for international internships/research opportunities for undergraduate and graduate and professional students,

¹³ This \$6 million would be over and above the funding requested in the current OIP compact.

and on-campus internationalization programs for those not directly participating in learning abroad experiences).

- Faculty support (e.g. cross-disciplinary, cross-collegiate faculty research circles; international symposia; intercollegiate competitive research grants).
- Curricular development (e.g. OIP faculty travel grant supplement for curriculum integration; small grant programs for individuals and departments to develop and implement international course content and programming).
- International network development (e.g. travel and expenses for planning meetings, development of collaborative seminar series, visiting post-doctoral fellowships).
- Technology and infrastructure (e.g. development of an international database of students, faculty, alumni; appropriate staff support to sustain this infrastructure).

To measure our success in implementing these recommendations and achieving the goal of becoming a top three public research university, we suggest five-year periodic evaluations based on established benchmarks¹⁴, including the following:

- **External Funding:** the level of external funding to support international programs at the University and the international research, teaching and public engagement activities of faculty and students.
- **International Partnerships:** the number of deep, sustained partnerships with institutions in strategically identified regions and an increase in the number of faculty and students engaged in interdisciplinary, collaborative research and teaching activities related to these partnerships.
- **Construction of a Cross-Disciplinary and All-University Intellectual Community:** as measured by the degree of sustained international research circles, symposia, research centers, and collaborative research projects and the number of faculty and students participating in these international activities.
- **University-Community Partnerships:** the number of University partnerships with Minnesota's public and private sector focused on the key thematic areas identified as strategic priorities for the University.
- **Internationalization of the Student Experience:** as measured by the number of international graduate and undergraduate students enrolled at the University of Minnesota, and the percentage of students participating in long- and short-term study abroad programs.
- **Internationalization of the Curriculum:** with new course development, particularly in the area of language instruction with emphasis on languages consistent with strategic regional foci, and the revision of existing courses to integrate international content.

¹⁴ To accurately measure our progress, these benchmarks must be comprehensive, system-wide, and tied to the collegiate compact process (see Appendix O).

IV. Appendices

Appendix A: Task Force Charge Letter

Forging an International University

Mission

- (1) To formulate recommendations regarding how to develop a strategy, plan, and structure to most effectively leverage, stimulate, and coordinate cutting edge international research and globally informed teaching and public engagement programs with selected partners in other countries
- (2) To address strategies for building strategic international partnerships with universities and institutions, expansion of study abroad and international scholarly exchanges, and internationalization of the curriculum.

Deliverables

- An accounting of the University of Minnesota's relative advantages - its current strengths- that should position it to become a major global/international university.
- Recommendations regarding success in recruiting and educating students from around the globe to achieve the University's full potential as a global university.
- Recommendations regarding how to overcome current academic and institutional divisions to create a new synergism among scholars and students at this University who are exploring significant international issues, including how to create more globally competent faculty, staff, and graduates.
- Recommendations regarding how to position the University to become a node of excellence in the emerging global network of knowledge production and circulation and connect more effectively with transnational research institutions.
- Recommendations regarding how to effectively integrate the international experience of undergraduate, graduate and professional degree students with international students and scholars on campus, with the relevant work that faculty are doing, and to connect them with the larger community beyond the University.
- Recommendations regarding what organizational structure will best support the above mission and deliverables.

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Appendix D: Task Force Calendar of Activities and Consultations

Tuesday, 9.13, Task Force (TF) Meeting Week 1: Introductions and overview of schedule and charge

Tuesday, 9.20, TF Meeting Week 2: Review previous reports for discussion on September 27

Tuesday, 9.27, TF Meeting Week 3: Review and discussion of previous reports; assigning of charge questions to task force members

Tuesday, 10.4, TF Meeting Week 4: Reports from colleges

10:15 am-11:00 am: CSOM (Dean Michael Houston and Director of International Programs Anne D'Angelo King)

11:15 am-12:00 pm: Institute of Technology (Dean Steven Crouch)

Tuesday, 10.11, TF Meeting Week 5: Reports from colleges, continued

10:15 am-11:00 am: Task force business meeting

11:15 am-12:00 pm: CLA (Dean Steven Rosenstone and Assoc Dean for Faculty and Research James Parente)

Monday, 10.17:

10:30-11:30 am, 537 Heller Hall: Meeting with CLA chairs (MJ Maynes, Amy Kaminsky, Daniel Brewer)

Tuesday, 10.18, TF Meeting Week 6: Reports from colleges, continued

10:15 am-11:00 am: CBS (Dean Elde)

11:15 am-12:00 pm: COAFES (VP Charles Muscoplat)

1:30-3:30 pm, 289 Humphrey: Student Advisory Committee meeting

Monday, 10.24:

9:00-9:45 am, 537A Heller Hall: Meeting with Victor Bloomfield, Associate VP for Public Engagement

10:45-11:30 am 537A Heller Hall: Meeting with David Pui

3:00-5:00 pm, 12 Morrill Hall: Senior Faculty Advisory Committee meeting

Tuesday, 10.25, TF Meeting Week 7: Reports from colleges, continued

10:15 am-11:00 am: Law School (Dean Alex Johnson and Associate Dean Meredith McQuaid)

11:15 am-12:00 pm: Public Health (Dean John Finnegan and Harry Lando, Professor in the Division of Epidemiology and Community Health)

Monday, 10.31:

3:30-4:30, 537 Heller Hall: Meeting with Susan Stafford (Dean, College of Natural Resources)

Tuesday, 11.1, TF Meeting Week 8: Meeting with China Center and representatives from coordinate campuses

10:15 am -11:00 am: China Center (Hong Yang, Director and Joan Brzezinski, Assistant Director)

11:00 am – 11:45 am: UMD Chancellor Kathy Martin via conference call

11:45 am- 12:30 pm: UMM Chancellor Samuel Schuman in person

12:30-2:30pm, 289 Humphrey: Student Advisory Committee meeting

Monday, 11.7, 110 Morrill Hall: Meeting with Gerry Rinehart (Student Advisory Committee)

Tuesday, 11.8, TF Meeting Week 9: Reports from colleges, continued. Reports from coordinate campuses, continued.

10:15-11:00: Humphrey Institute of Public Affairs (Dean Brian Atwood)

11:00-11:45: College of Education and Human Development (Dean Steve Yussen)

11:45-12:30: Crookston (Joe Massey, Senior Vice Chancellor for Academic Affairs and Dean; and Don Sargeant, Chancellor Emeritus and Professor, Department of Agriculture)

Wednesday, 11.9:

10:30-11:00, 321 Johnston Hall: Meeting with Gail Dubrow, Dean of the Graduate School

3:00-5:00pm, 3-166 Carlson: External Advisory Committee meeting.

3:30-4:00 pm, 475 Children's Rehabilitation Building: Meeting with Frank Cerra, Senior Vice President, Academic Health Center

Tuesday, 11.15, TF Meeting Week 10: Meeting with task force consultant

9:30-12:30, 537 Heller

Wednesday, 11.16, 1031 Social Sciences: Meeting with Center for Teaching and Learning Services (Kate Martin and Jane O'Brien)

Friday, 11.18:

12-2pm, 238A Morrill Hall: Senior Faculty Advisory Committee Meeting

3:00-5:00pm, 3-166 Carlson: External Advisory Committee meeting

Monday, 11. 21:

10:15-12:15, 110 Heller: TF meeting to discuss deliverables

Tuesday, 11.22, TF Meeting Week 11: Advisory Committee Reports

10:15-11:00: Senior Faculty Committee (MJ Maynes)

11:00-11:45: External Committee (Michael Houston)

11:45-12:30: Student Committee (Kathleen Sellew)

Tuesday, 11.29: TF Meeting Week 12:

10:15-12:15, 710 Social Sciences: Subcommittee discussion of charge questions.

12:30-2:00 pm, 215 Humphrey (Wilkins Room): Task Force Public Forum

Tuesday, 12.6, TF Meeting Week 13: Subcommittee discussion of charge questions, continued. Discussion of draft interim report.

Appendix E: Methods and Consultative Process

The “Forging an International University” Task Force arrived at its recommendations through a critical review of published reports and close consultation with key figures on campus, in the external community, and in several major foundations which support the types of international activities suggested in our report. Task Force members began their work in September 2005 by reviewing a wide variety of publications on previous international initiatives and activities at the University of Minnesota, reports from international programs at other universities, and other key publications on internationalizing research and education. Task Force members also consulted various web resources relevant to the assigned mission and charge (see Appendix F for a listing of resources and references).

The majority of our time was spent consulting with key stakeholders from across the University system. Over 13 weeks, the Task Force met with collegiate deans, center directors, and senior administrators from the Twin Cities and coordinate campuses. In addition, subgroups of the Task Force consulted with key faculty and other leaders both within and outside of the University. We held a total of 25 separate consultative meetings with more than 35 individual stakeholders, as well as a public forum with 41 participants (see Appendix D for a calendar of activities). An additional public forum will be held in January 2006 during the public comment period. The Task Force also appointed Senior Faculty, Student, and External Advisory Committees. Each of the three committees met twice and reported back to the full Task Force (for a listing of advisory committee members see Appendix C).

In all of these meetings, we asked stakeholders to speak specifically to the six deliverables (Appendix A), as well as to think prospectively about the critical global issues emerging over the next decade and how the University might position itself to address these issues. Each of these stakeholders was also invited to raise additional issues which were of particular concern or interest to them and their constituencies.

Finally, the Task Force worked in consultation with three senior foundation figures, including Joyce Moock (Associate Vice President, Rockefeller Foundation), Craig Calhoun (President, Social Science Research Council), and Kennette Benedict (Executive Director, The Bulletin of Atomic Scientists). Dr. Benedict visited Minnesota in November where she met for a half-day consultative session with the Task Force. Drs. Moock, Calhoun, and Benedict will all review the draft task force report and offer their input during the public comment period.

Appendix F: References and Resources Consulted

University of Minnesota Reports

Allen, C. Eugene. *International Programs – Issues and a Vision*. January 1999.

Committee on International Education. *International Education in the Twenty-First Century: A Strategic Plan for the College of Education and Human Development*. April 1998.

Long-Term International Strategy Committee. *Toward a Long-Term International Strategy for the University of Minnesota*. May 1996

Martin, Judith; Al Balkcum; Jon Booth; Michael Paige; and Chip Peterson. *Proposal for Study Abroad at the University of Minnesota: Report of the Study Abroad Committee*. March 22, 1988, revision submitted to Robert Kvavik, Assistant Vice President for International Education.

Mestenhauser, Josef. *Strategy for Focus Planning Document for the Office of International Education*. May 18, 1987.

Office of International Programs, September 14, 1999. *International Institute for Health, Nutrition and Food Safety: A Proposal for an Interdisciplinary and International Initiative*.

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Proposal for a Campus-Wide International Institute (1993).

Thomas, Kay. *Strategic Planning Document of the Counseling and Advising Division, Office of International Education: Five Year Plan*.

Two Interdisciplinary and International Capital Campaign Proposals (1999).

Van Wychen, Marguerite P. *Study on International Relations and Development for the University of Minnesota Foundation*. September 30, 1997.

Wallace, John R.; Carol Panzandak; Josef Mestenhauser; and Michael Metcalf. *Report of the President's Task Force on the International Character of the University*. April 16, 1984.

External Reports and Publications

American Council on Education. *Higher Education in a Pluralist World: A Transatlantic View*. July 2004.

American Council on Education. *Measuring Internationalization at Research Universities*. June 2005.

Henson, James B.; Jan C. Noel; Thomas E. Gillard-Byers; and Marcus C. Ingle. *Internationalizing U.S. Universities: A Preliminary Summary of a National Study*. International Program Development Office, Washington State University. Occasional Paper #7, May 1991.

NASULGC Task Force on International Education. *A Call to Leadership: The Presidential Role in Internationalizing the University*. October 2004.

Paige, R. Michael, "The American Case: The University of Minnesota," *Journal of Studies in International Education*, 7(1): Spring 2003:52-63.

Van de Water, Jack. "Gaps in the Bridge to the Twenty-First Century," *International Educator*, Spring 1997: 10-15.

Websites

American Council on Education website on international initiatives:

www.acenet.edu/AM/Template.cfm?Section=International&Template=/CM/HTMLDisplay.cfm&ContentID=9578

Engineers Without Borders: <http://www.tc.umn.edu/~ewb/projects.html>

Long Term Ecological Research Network: <https://www.myu.umn.edu/metadot/www.lternet.edu>

McDonnell International Scholars Academy: <http://mcdonnell.wustl.edu/>

NAFSA: Association of International Educators: <http://www.nafsa.org/>

Rocky Mountain Biological Library: <https://www.myu.umn.edu/metadot/www.rmbl.org>

Social Science Research Council Website: <http://www.ssrc.org/>

Appendix G: Student Advisory Committee Report

Internationalization Task Force Student Advisory Committee Report, November 22, 2005

Key findings

Strengths

- Variety and depth of study abroad programs; greater number of students abroad
- Services provided by International Student and Scholar Services

Weaknesses

- Funding for study abroad scholarships
- Funding for international undergraduate students
- English as a Second Language support
- Incorporation of international experiences into the academic and cultural life of the University

Strategic Programmatic Recommendations

- 1) Work toward the goal of 50% of undergraduate students going abroad.
(3,000 per year; UMTC is currently at 1800)
 - Develop more scholarship funds for learning abroad opportunities
- 2) Recruit enough international undergraduate students to move us from the bottom of the Big 10
(The Twin Cities Campus is now at below 2% of the undergraduate student body; Purdue is at 6% of their student body. UMTC wants to be at 5%).
 - Develop scholarships or non-resident tuition breaks for international undergraduate students
 - Work across the U of M system to collaborate on student recruitment
 - Provide appropriate English as a Second Language support
 - Develop strong international alumni network
- 3) Provide opportunities for the "other 50%" to have an appropriate international, intercultural experience.
 - Join with Student Affairs during the upcoming re-evaluation of the liberal education requirements to "transcript" co-curricular activities that would provide an international experience component of an undergraduate education
 - Address campus life issues including living/learning opportunities and interaction space
- 4) Provide opportunities for the experiences of international students and the experiences of returned study abroad students to cycle back into the classroom.
- 5) Outreach to and collaboration with new immigrant populations in Minnesota.

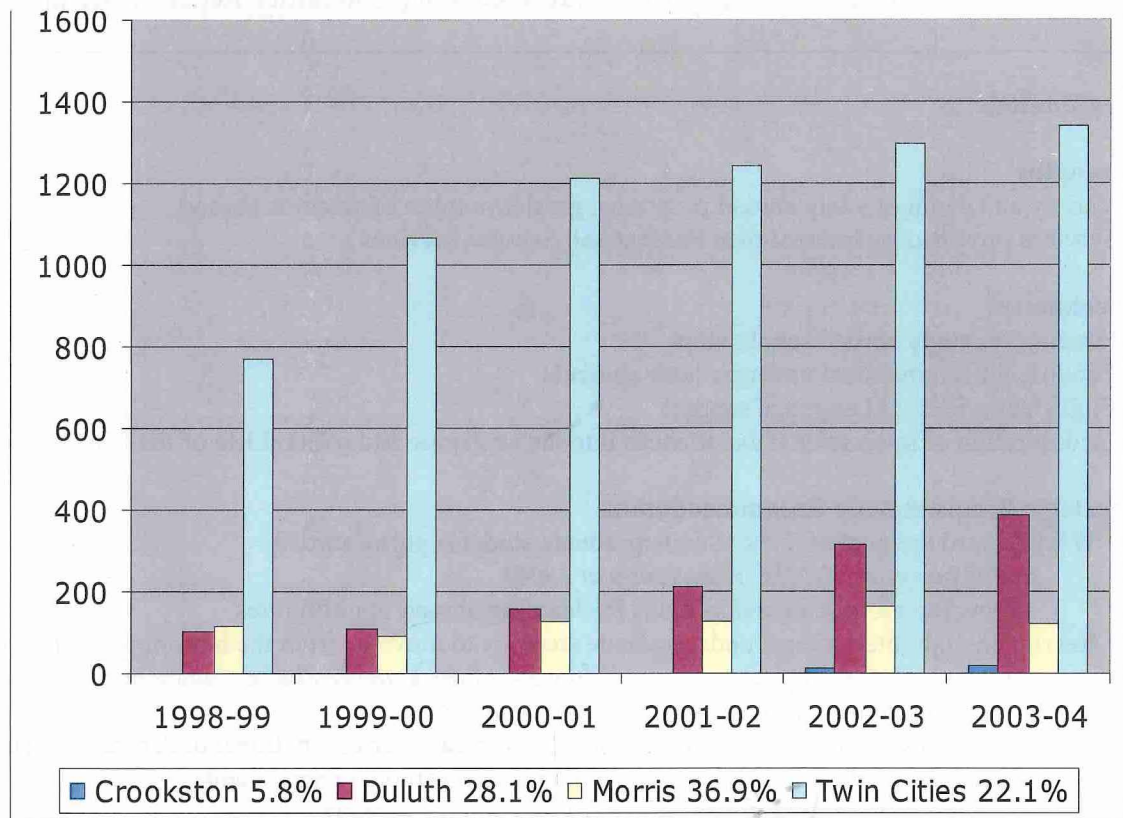
Members of the Committee

Kathleen Sellow, Associate Director, Office of International Programs (Chair); Al Balkcum, Director, Learning Abroad Center; Christy Boraas, medical student; Ann Hill Duin, Professor and Associate Dean, College of Agricultural and Environmental Sciences; Diana Fu, undergraduate student, CLA; Vinay Gidwani, Assistant Professor, Geography; Laurel Johnson, undergraduate student and peer adviser, CLA; Avigya Karki, graduate student, Humphrey Institute; Carol Klee, Associate Professor, Spanish and Portuguese Studies; Meredith McQuaid, Associate Dean, Law School; Jerry Rinehart, Vice Provost for Student Affairs; Kay Thomas, Director, International Student and Scholar Services

Other observations

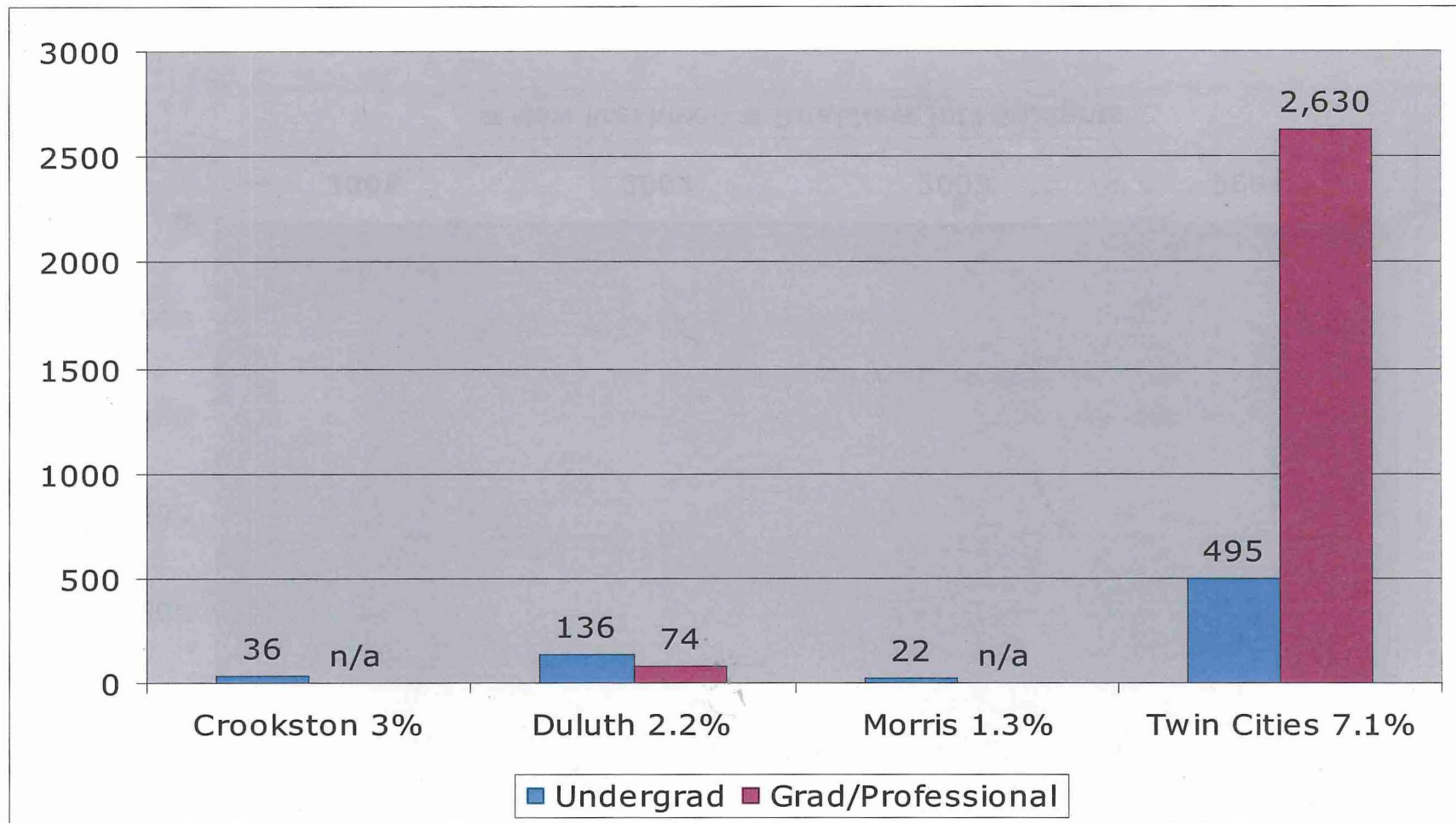
- Student issues and programs were identified as high priority by the coordinate campuses, but barely mentioned by the Task Force at large
- We do not take advantage of existing exchange relationships or existing study abroad sites to better integrate them into larger campus goals.

Appendix H: Study Abroad Participation (undergraduates, by campus)

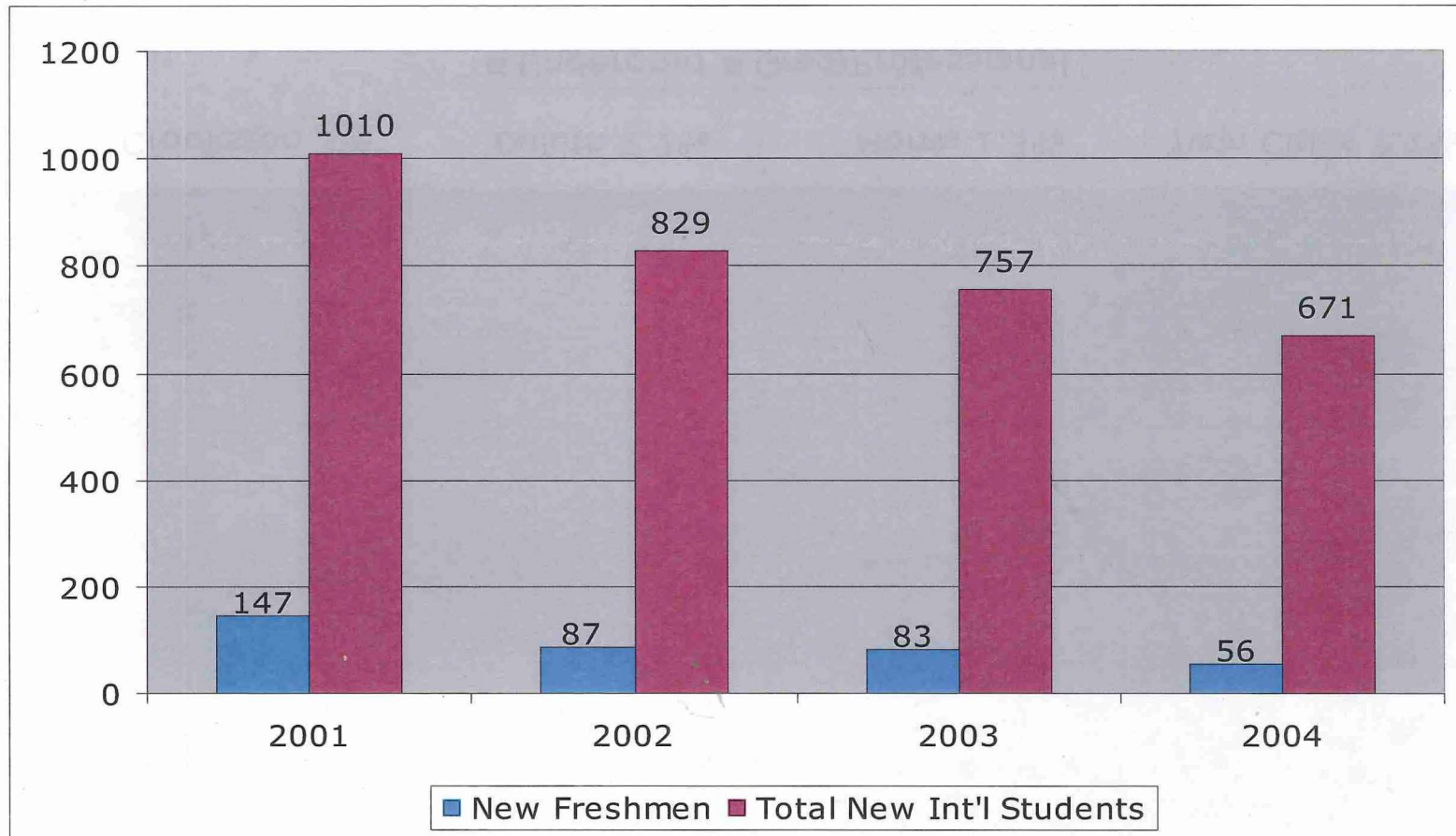


(Progress toward 50% goal)

Appendix 1: International Student Enrollment (degree-seeking students, by campus)



Appendix J: International Student Enrollment (Twin Cities, Fall '04)



Appendix K: Financial Aid International Students, MN Schools

Institution	Full-time Undergrads*	International Students* (% of total undergrads)	Resident Tuition*	Non-Resident Tuition*	Financial Assistance Offered to Int'l Undergraduate Students**
Bemidji State University	3,370	5%	\$5,653	\$12,421	Soon in effect: All students will pay resident tuition
Macalester College	1,847	14%	28,642	28,642	Based on student need; average package=\$10,000 grant & \$3,000 loan to cover tuition, room, & board
Metropolitan State University	1,948	2%	\$4,140	\$8,280	No assistance at admission, but eligible for resident tuition after two semesters
Minnesota State University-Mankato	11,231	3%	\$4,376	\$9,286	No assistance at admission, but eligible for in-state tuition after first semester; international student endowment scholarships; student must complete "cultural contribution" hours
Minnesota State University-Moorhead	6,315	3%	\$4,172	\$4,172	All students pay resident tuition
Southwest Minnesota State University	2,900	7%	\$5,016	\$5,016	All students pay resident tuition
St. Cloud State University	11,805	5%	\$4,577	\$9,935	Offers resident tuition scholarships to all international students "Academic and Cultural Sharing Scholarships"
University of Minnesota-Crookston	1,152	3%	\$5,500	\$5,500	All students pay resident tuition
University of Minnesota-Duluth	9,014	2%	\$6,710.10	\$18,270	Most international students apply for and receive financial assistance that allows resident tuition
University of Minnesota-Morris	1,666	1%	\$7,668	\$7,668	All students pay resident tuition
University of Minnesota-TC	26,479	2%	\$6,678	\$18,308	No financial assistance
Winona State University	6,776	4%	\$4,620	\$9,160	May apply for Cross-Cultural Scholarship (allows student to pay resident tuition); students must enroll in workshop, complete cross-cultural projects

Appendix L: Financial Assistance for International Students, Big 10

Institution	Full-time Undergrads*	International Students* (% of total undergrads)	Resident Tuition*	Non-Resident Tuition*	Financial Assistance Offered to Int'l Undergraduate Students**
Indiana University	27,743	4%	\$5,986	\$17,799	Assistance available through the Faculty Awards Program (\$1,000 to \$5,000). Merit based.
Michigan State University	31,698	3%	\$6,188	\$17,033	Extremely limited competitive scholarships available
Northwestern University	7,846	5%	\$31,644	\$31,644	Small number of need-based awards
Ohio State University	33,584	3%	\$7,479 (tuition & fees)	\$18,066 (tuition & fees)	No financial assistance
Penn State University	33,376	2%	\$10,408	\$20,336	Limited number of merit-based awards
Purdue University	28,954	6%	\$6,335	\$19,822	Academic Success Award (\$5,000 1st year, \$2,700 for the next three years); Valedictorian Scholarship (\$2,000 for the first year, non-renewable). Both are merit based.
University of Illinois	28,697	4%	\$7,042	\$21,128	No financial assistance
University of Iowa	17,879	1%	\$4,890	\$16,276	Compete with other freshmen for scholarships
University of Michigan	23,773	5%	\$8,014	\$25,840	Extremely limited assistance available
University of Minnesota	26,479	2%	\$6,678	\$18,308	No financial assistance
University of Wisconsin	27,014	3%	\$5,860 (tuition & fees)	\$19,860 (tuition & fees)	No financial assistance except that which may be available from departmental sources

Appendix M: Study Abroad and Graduation Rates

Study Abroad Does Not Delay Graduation

Graduation in 4 years

Freshmen entering in Fall 1999		
	%	#
Non-Study Abroad	30.6 %	1386
Study Abroad	45.6 %	227
Total	32.1%	1613

Freshmen entering in Fall 2000		
	%	#
Non-Study Abroad	29.4%	1251
Study Abroad	54 %	328
Total	32.5%	1579

Freshmen entering in Fall 2001		
	%	#
Non-Study Abroad	30.9%	1424
Study Abroad	57.6%	374
Total	34.2%	1798

Graduation in 5 years

Freshmen entering in Fall 1999		
	%	#
Non-Study Abroad	53 %	2400
Study Abroad	85.1%	424
Total	56.2%	2824

Freshmen entering in Fall 2000		
	%	#
Non-Study Abroad	49.6%	2111
Study Abroad	85.7%	520
Total	54.1%	2631

Graduation in 6 years

Freshmen entering in Fall 1999		
	%	#
Non-Study Abroad	57.6%	2606
Study Abroad	90.8%	452
Total	60.9%	3058

Source: Institutional Research and Reporting, University of Minnesota

4 Year Graduation Rate by AAR (Admissions Academic Rate)

High school GPA + High school Rank + ACT Scores

AAR 100-119

Freshmen entering in Fall 1999		
	%	#
Non-Study Abroad	21.5 %	972
Study Abroad	15.9 %	79
Total	20.9 %	1051

Freshmen entering in Fall 2000		
	%	#
Non-Study Abroad	18.2 %	775
Study Abroad	16.3 %	99
Total	18 %	874

Freshmen entering in Fall 2001		
	%	#
Non-Study Abroad	18.3%	842
Study Abroad	14 %	91
Total	17.7%	933

AAR 120-139

Freshmen entering in Fall 1999		
	%	#
Non-Study Abroad	29.4 %	1330
Study Abroad	31.7 %	158
Total	29.6 %	1488

Freshmen entering in Fall 2000		
	%	#
Non-Study Abroad	32.3 %	1376
Study Abroad	29.2 %	177
Total	31.9 %	1553

Freshmen entering in Fall 2001		
	%	#
Non-Study Abroad	32.3%	1488
Study Abroad	31.9%	207
Total	32.2%	1695

AAR 140 +

Freshmen entering in Fall 1999		
	%	#
Non-Study Abroad	26.4 %	1197
Study Abroad	36.1 %	180
Total	27.4 %	1377

Freshmen entering in Fall 2000		
	%	#
Non-Study Abroad	27.4 %	1166
Study Abroad	40.5 %	246
Total	29.0 %	1412

Freshmen entering in Fall 2001		
	%	#
Non-Study Abroad	26.6 %	1227
Study Abroad	39.6 %	257
Total	28.2 %	1484

Source: Institutional Research and Reporting, University of Minnesota

5 Year Graduation Rate by AAR

AAR 100-119

Freshmen entering in Fall 1999		
	%	#
Non-Study Abroad	40.9 %	398
Study Abroad	77.2 %	61
Total	43.7 %	459

Freshmen entering in Fall 2000		
	%	#
Non-Study Abroad	40.1 %	311
Study Abroad	78.8 %	78
Total	44.5 %	389

AAR 120-139

Freshmen entering in Fall 1999		
	%	#
Non-Study Abroad	56.7 %	754
Study Abroad	83.5 %	132
Total	59.5 %	886

Freshmen entering in Fall 2000		
	%	#
Non-Study Abroad	50.4 %	694
Study Abroad	84.2 %	149
Total	54.3 %	843

AAR 140 +

Freshmen entering in Fall 1999		
	%	#
Non-Study Abroad	73.9 %	884
Study Abroad	92.2 %	166
Total	76.3 %	1050

Freshmen entering in Fall 2000		
	%	#
Non-Study Abroad	70.4 %	821
Study Abroad	91.5 %	225
Total	74.1 %	1046

Source: Institutional Research and Reporting, University of Minnesota

6 Year Graduation Rate by AAR

AAR 100-119

Freshmen entering in Fall 1999		
	%	#
Non-Study Abroad	47.1 %	458
Study Abroad	81 %	64
Total	49.7 %	522

AAR 120-139

Freshmen entering in Fall 1999		
	%	#
Non-Study Abroad	60.8 %	809
Study Abroad	92.4 %	146
Total	64.2 %	955

AAR 140 +

Freshmen entering in Fall 1999		
	%	#
Non-Study Abroad	76.4 %	914
Study Abroad	95.6 %	172
Total	78.9 %	1086

Source: Institutional Research and Reporting, University of Minnesota

Students of Color Graduation Rates

Graduation in 4 years

Freshmen entering in Fall 1999		
	%	#
Non-Study Abroad	21 %	162
Study Abroad	41.3 %	19
Total	22.2 %	181

Freshmen entering in Fall 2000		
	%	#
Non-Study Abroad	18.8 %	146
Study Abroad	42.9 %	33
Total	21.0 %	179

Freshmen entering in Fall 2001		
	%	#
Non-Study Abroad	19.8 %	158
Study Abroad	45.0 %	36
Total	22.1 %	194

Graduation in 5 years

Freshmen entering in Fall 1999		
	%	#
Non-Study Abroad	40.3 %	310
Study Abroad	76.1 %	35
Total	42.3 %	345

Freshmen entering in Fall 2000		
	%	#
Non-Study Abroad	36.9 %	286
Study Abroad	75.3 %	58
Total	40.3 %	344

Graduation in 6 years

Freshmen entering in Fall 1999		
	%	#
Non-Study Abroad	44 %	339
Study Abroad	84.8 %	39
Total	46.3 %	378

Source: Institutional Research and Reporting, University of Minnesota

Appendix N: NAFSA: Association of International Educators 2005 Poll

American Public: International Education is Key to Preparing Next Generation

WASHINGTON, January 11, 2006 – Americans in overwhelming numbers believe that international education is a key to preparing their children for success in the global age. They believe that foreign language skills will make their children more competitive in the job market, and they feel it is important for the next generation to have the opportunity to study abroad and to interact with students from other countries while in college.

These are the findings of a new national survey commissioned by NAFSA: Association of International Educators, which polled more than 1,000 adults representing a broad cross-section of the American public during the first week of December 2005.

Among the highlights of Americans' attitudes toward international education:

- 90% believe it is "important" or "very important" to prepare future generations of Americans for a global society;
- 92% agree that knowledge of other languages will give future generations a competitive advantage in career opportunities;
- 77% feel it is important for future generations to participate in study abroad programs in college;
- 86% believe it is important for their children and grandchildren to attend a college where they can interact with and get to know students from other countries;
- 94% feel it is important for future generations to have knowledge of other countries and cultures.

Past surveys have confirmed that Americans value international education. This latest survey reveals a dramatic public consensus about its perceived importance. The consistency of responses across demographic lines is especially striking. Irrespective of age, gender, race, geographic region, household income, or level of education, Americans are remarkably strong in their conviction that international education programs and preparedness for a global society are important.

"These data reflect what we believe is a strong call for leadership, on the part of both government and the higher education community," said NAFSA Executive Director and CEO Marlene Johnson. "Given the high level of public support for international education, the climate is ripe for decisive action to ensure that the next generation of American leaders is well-equipped to succeed in a competitive global environment, and that the United States can be a world leader in educational and scholarly exchange."

NAFSA calls upon government and higher education, working in close partnership, to take advantage of this year's designation as the "Year of Study Abroad" to establish a national program that will ensure that study abroad becomes the norm in U.S. higher education (today just one percent of American college students ever study abroad). The program should be designed to make study abroad accessible to today's diverse student body, including community-college students, low-income students, students at minority-serving institutions, and students who study part-time and work full-time to support families. It should also promote more study abroad in developing countries. At the same time, we call upon the State Department to lead government and higher education in designing and implementing a comprehensive strategy that will restore America's status as a magnet for international students and scholars.

Action on these two critical fronts will go a long way toward responding to the American public's call to ensure that the country is well-prepared for the global challenges of an increasingly competitive and interconnected world. To review the full survey report, access <http://www.nafsa.org/nationalsurvey>

Appendix O: Metrics for Assessing the Internationalization of the University of Minnesota

In order to achieve its goal of becoming a top three public research university, the University of Minnesota must adopt a system of metrics that will effectively assess progress toward internationalizing all aspects of the institution. This must include comprehensive benchmark measurements such as those referenced in the narrative of this report which will evaluate progress in a broad range of areas and activities. These benchmarks must be applied to regular system-wide assessments, and tied to clearly articulated goals and priorities of the University as a whole as well as individual collegiate units as expressed through the compact process. Finally, the metrics used to evaluate the internationalization of the University of Minnesota must be understood as a series of interconnected indicators which together reflect progress toward an overarching goal.

Exhibit 3

Forging a Global University:

Key Themes and Sites

January 15, 2008

**Report from the
International Working Group**

submitted by

**Allen Isaacman
Vice President for International Scholarship**

**Karen Brown
Special Assistant for International Scholarship**

Process

This report is based upon a wide range of discussions concerning priorities for internationalizing the scholarly mission of the University of Minnesota. Allen Isaacman and Karen Brown met with the deans of the University's Twin Cities campus colleges and schools as well as senior leadership on the coordinate campuses, and held extensive consultations with the members of the International Working Group and the all-University International Scholarship Advisory Committee. This draft document identifies a set of key interdisciplinary themes and sites identified by scholars across the University as critical academic and policy issues where the University enjoys particular strengths and brings a comparative advantage.

Key Cross-Cutting Themes

(1) Social, physical and ecological consequences of climate change

The effects of climate change on the physical environment include global warming, droughts, rising ocean levels, shrinking ice caps, changed weather patterns, and changes in water resource availability. These processes of environmental change have wide ranging social, economic and cultural causes and consequences with potentially enormous impacts on human communities, animal populations, plant life, habitats and ecosystems, human-made sites (such as coastal cities, sites and buildings of historic, religious and cultural significance), and areas of agricultural and other economic production. Sustainability and climate change are thus inextricably linked in arenas such as energy use, human consumption and the preservation of cultural life. Further, the best evidence indicates that the greatest negative effects will be borne by those least able to bear them: the poor and disadvantaged in developing countries of the world.

The global scope and complexity of climate change demand scholarly and policy responses that address multiple scales (local, national and international) and temporal dimensions (immediate crises such as coastal zone storms and flooding as well as longer term preventive measures including reduction of greenhouse gas emissions. The University brings together a range of disciplines and fields of expertise that can illuminate the impact of climate change in unique ways – physical and cultural geographers, geologists, applied economists, environmental historians and sociologists, conservation biologists, architecture and design, agricultural and plant sciences, and medicine and public health.

(2) Sustainable human livelihoods and global change

Human livelihoods, and livelihood chances, differ enormously across the globe, notwithstanding beliefs that globalization is creating a flatter world. Global processes and local communities intersect on a routine basis in various realms of daily life including safe housing, secure food and water supplies, and adequate clothing. The production and distribution of scarce resources necessary to human communities and sustainable livelihoods, and the cultural histories and meanings of these resources, present critical and complex challenges for policy and governance at local, national and international levels. Key issues include scarcity of water resources; food production, shortages, safety and distribution; affordable and sustainable housing design; agricultural and trade policy relating to food, textiles, and clothing; biosafety and bioengineering of crops; environmental degradation and land resource management; poor diets and hunger;

sustenance of cultural identities, languages and histories; and social processes and conflicts around provision of these fundamental resources.

The development, dissemination, meanings and powerful effects of information science and related technologies across the world is one of the most powerful vectors of globalization, with enormous implications for the prospects of local communities and people to enjoy secure livelihoods. Information technology and expanded communication networks can support the practice and delivery of education, medical care, and public health systems, as well as the sharing of expertise and information in many fields related to economic and social development, through the use of computer science and cognitive science to solve problems and create systems. Yet such technologies also create new 'digital divides', meaning that their implications for livelihood chances are not simply positive. Key issues include how particular information technologies become pervasive; who, where, benefits from these technologies, how they affect livelihood chances, and what alternative technologies are possible that could ameliorate negative impacts on livelihood chances. This set of issues in turn presents critical and complex challenges for policy and governance at local, national and international levels. As a major land grant institution, the University of Minnesota bears both a particular responsibility for and a unique set of scholarly resources to address these issues of sustainability of human communities.

(3) Global frameworks for human health, environments and ecosystems

The health and welfare of human communities at local, national and global scales are intimately linked to the natural environments and ecosystems in which they live, as well as the prevailing social, political and economic conditions. The spread of communicable diseases (AIDS, SARS, avian influenza, TB, West Nile virus) are dramatically increased through global travel and migration, and by contact with animal populations. Diseases such as malaria, hookworm, schistosomiasis, dengue are uncommon in industrial nations but are still major health problems in the Global South. Without adequate resources to support research and public health interventions, these conditions will affect not only the local populations but increasingly international populations that travel to endemic areas. Chronic diseases are now the major causes of morbidity and mortality in industrialized nations and have increased dramatically throughout the world as economic growth has spread to developing nations such that, by 2020, more people will die worldwide from chronic diseases than from infectious diseases. Effective responses to these trends demand local systems of knowledge about health and environment and indigenous therapeutic practices as well as biomedical research and public health policies.

Environmental degradation, on local and global scales and often as a result of human activities, has led to diminished habitats and resources, and threats to biodiversity, with resulting direct and indirect risks to human health. Human-human interactions such as wars and acts of terrorism, the presence of social and economic inequities, adequate access to health services in communities and nations, the protection of food safety, the provision of adequate nutrition and clean drinking water, the prevention of chronic diseases, and the development and marketing of drugs and medical technologies present further enormous problems on a global scale.

The solutions to these global challenges require an integrated interdisciplinary approach with a global perspective. They demand expertise from health scientists (in the fields of medicine, public health, veterinary medicine, pharmacy, dentistry, and nursing), environmental scientists and ecologists, food scientists and agricultural engineers, conservation biologists, economists and experts in public policy, historians, anthropologists, sociologists, and others. "Conservation medicine" is one emerging field that focuses on the intersection of the environment, human and non-human hosts, and pathogens.

(4) Human rights, responsibilities, and global justice

This core theme has three intertwined aspects: human rights, humanitarianism, and the struggle for global justice, each of which is a scholarly strength of the U of M, and which in their conjunction define a crucially important focus. Human rights and humanitarianism stand in a relationship of some tension, as the former is rooted in a legal-juridical conceptual framework and language of rights and entails active claims-making by those who are its objects, while the latter is based in a conceptual framework and language of ethics and responsibility, entailing acts of charity toward those who are its objects. At the same time, they stand jointly as expressions of efforts to move closer to a condition of what might be called global justice.

Collective action and struggle to produce justice as equity by those who are disadvantaged in and by the existing order is based in neither the legal-juridical framework of rights nor the ethical framework of responsibility and charity. This third aspect shares facets with the first two, while being in tension with both. Like human rights it is founded in claims-making, but in the framework of equity/equality, liberation, emancipation, freedom, rather than of legal-juridical rights. Like humanitarianism, it is based on an ethic of responsibility, but in terms of transforming structural injustices constraining oneself, rather than charity and compassion toward the other. Response to these challenges raises significant issues of global governance and intervention by governmental and non-governmental organizations, particularly given the pressures of increasing mobility. Salient issues include transnational social movements, international legal and normative structures, the role of memory in international and national tribunals and truth commissions, arts and literatures of resistance and testimony, and methods to render audible the voices and experiences of displaced peoples. The University of Minnesota is well positioned to become a leading site of knowledge globally on processes of social-political transformation of inhumane and unjust conditions.

(5) Race, ethnicity and migration

The increasingly fluid movement of people across national borders due to international travel, migration, wars/conflicts and refugee movements brings a set of interrelated global issues. The study of human movement no longer focuses exclusively on immigrants in single countries; studies of refugees, guest workers, internal migrants, trafficking, adopted children, exiles, tourists, and diasporas are increasingly undertaken transnationally, globally or comparatively, challenging the methodological nationalism of many individual disciplines and the knowledge generated through the study of individual nations, notably the United States. Study of political violence, genocide, and nation-building strategies of incorporation and exclusion needs to be tackled cross-culturally, as should the ways in which religion, language and history can themselves be racialized in moments of political conflict. The relationship of mobile and indigenous minorities in world history could also easily draw on Minnesota's particular strength in both immigration and American Indian studies. This complicated terrain of study comprises processes of social and cultural integration and conflict; questions of gender, race, religion and ethnicity; economic and environmental factors; concerns over terrorism; global health matters; and related legal and public policy questions.

Sites

While identifying a set of countries in which to build deep relationships is an important dimension of globalization at the University of Minnesota, the selection of such sites must be based on the added value of such relationships bring particularly in research and teaching.

Moreover, some of the most interesting potential sites are not necessarily nation-states. It is important to pay careful consideration to broader regions (e.g. the Mediterranean, Southern Africa) as well as to connected spaces (e.g. the silk route, overseas Diaspora communities) and conceptual spaces (e.g. global cities or river basins).

Any prioritizing of sites will create some gaps in focus. Accordingly, the committee notes with concern that those gaps or absences are apt to be large and consequential, covering the Middle East, Russia and Central Asia, parts of the European Union, and most of the Americas outside of the United States. If we are to become a major international University, the issues of expertise in these critical areas must be addressed. The University of Minnesota cannot have a focus on all parts of the world, but perhaps we could set our sights on tapping into a few more of these absent sites.

That said, China and India have already been identified as high priority areas in which the University enjoys a relative advantage. South Africa offers another outstanding possibility. The extremely productive visit of Senior Vice President Robert Jones in August and the multi-dimension relationship with the University of Western Cape among other institutions of higher learning provide the basis for a deep partnership with South Africa. In addition, the University of Minnesota has a strong interdisciplinary presence in Turkey, Thailand and the Nordic countries and emerging interest in East Africa (both as a key geographic region and as the home country of Minnesota's substantial new immigrant population from Somalia and Ethiopia).

UNIVERSITY OF MINNESOTA

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January 17, 2008

To: Meredith McQuaid, Associate Vice President and Dean, Office of International Programs

From: Peter Hudleston, Chair, Subcommittee C of the International Working Group

Re: Report on Identification of Risk and Liability Issues Associated with International Activities

cc: Don Amundson
Elizabeth Anderson
Gail Klatt
Susan Rafferty
Dennis Skovsted

On behalf of the members of subcommittee C, I submit the attached report on *Identification of Risk and Liability Issues* associated with international activities. In carrying out its charge, the subcommittee met seven times during the course of fall semester, 2007 and in addition communicated and exchanged information by means of email. The first task of the subcommittee was to identify and locate all the relevant documents and pieces of information in University files that bear on the topic, and the second task was to decide how to best organize this information and utilize it in its deliberations. The decision was made to do this by creating the tables that form the backbone of the report. Our recommendations stem in part from item by item consideration by the subcommittee of the activities and the issues of risk and liability associated with these.

The subcommittee believes it has identified the key issues and those areas that need attention. Given the restrictions of time and the scope of the enterprise, it has not attempted to develop policies, where gaps exist, to address specific activities undertaken by University faculty and students. It does, however, recommend the formation of a standing committee to advise OIP on issues of risk and liability and to assist in the development of policies to address these where necessary.

I believe I speak for all members of the subcommittee when I say that we appreciated the opportunity to work together on this particular task as part of the initiative to more fully internationalize the University.

Report of Subcommittee C of the International Working Group: Identification of Risk/Liability Issues

Submitted on January 17, 2008

Subcommittee Membership:

Don Amundson, Associate General Counsel, Office of the General Counsel

Elizabeth Anderson, Paralegal, Office of the General Counsel

Peter Hudleston (chair), Institute of Technology, Professor of Geology and
Geophysics

Gail Klatt, Associate Vice President, Office of Internal Audits

Susan Rafferty, Interim Director, Office of Institutional Compliance

Dennis Skovsted, Information Systems Audit Manager, Office of Internal Audits

Charge: "Define the scope of risk/liability issues for the University of Minnesota's international programs. Identify those issues to be addressed at the college/department level and those to be addressed centrally. Describe the process by which those issues best addressed centrally should be managed. Prioritize motivations for internationalization in order to tolerate greater risk for more significant goals. Develop policies to address specific international and travel activities by students and faculty that are transparent, enforceable and reasonable. Identify the delegation of authority for future policy development and enforcement/implementation."

Assumption: Work and study abroad by faculty, students and staff is integral to the mission of the University. Not all risks can or must be avoided.

Introduction:

Concern about the risks and issues of liability associated with international programs and activities is not new. Significant attention has been paid by staff in the Office of International Programs (OIP), the Office of the General Counsel (OGC) and other offices to identifying and addressing these issues at the University of Minnesota. However, in international programs and activities, as in so many other spheres of activity, the high degree of decentralization of the University of Minnesota poses a significant challenge to carrying out this task. One consequence of decentralization is that there is no complete list of activities and programs, and not all activities take place within the ambit of the Office of International Programs. This creates special challenges when it comes to dealing with issues of risk and liability. These challenges may be compounded in the near future, because, as the recommendations of the task force report, "Forging an

International University” are implemented¹, it is anticipated that the level of engagement of the University in the international arena will increase significantly and that the range and scope of international activities will also expand. For example, the Carlson School of Management recently added a graduation requirement of international experience for all its undergraduate students. It is therefore important to be proactive in identifying and addressing the issues of risk and liability that will likely accompany this expansion.

Why should we be so concerned about matters of risk and liability in connection with international activities? One reason is that there may be significant negative consequences in not paying attention to them, not the least including the possibility of incurring large legal fees if the University is taken to court. Another is that being aware of the issues ahead of time may save considerable time and expense when starting up new programs². Foreign laws and tax regulations are often very different from those in the U.S. and the consequences of running afoul of them could be expensive in both time and money. Having the knowledge to avoid such problems will facilitate the development of international programs and assure optimal use of available resources.

We stress that the need to address issues of risk and liability should not inhibit the University in fulfilling its international mission. Education and research are increasingly and unavoidably global and they take the University to all corners of the world. Important research agendas and educational opportunities may mean operating in parts of the world that are inherently dangerous and where the social and legal fabric of society is frayed. Working in such places as part of a University initiative may be justified, but it is most important that the risks be assessed ahead of time and that mechanisms are in place to handle them or that they are understood to be acceptable given the nature and importance of the activity.

Early on in its deliberations, the subcommittee noted that much of the information needed to address its charge is widely dispersed across the University. The first task was to gather and organize this information. In doing this, we considered relevant information in several categories:

- Types and nature of international activity (study abroad by groups and individuals, operation of a university facility abroad, faculty research, etc.)
- Issues of risk/liability associated with these (compliance with U.S. and foreign laws, immigration, tax, export controls, employment, etc.)
- Policies, procedures and mechanisms currently in place to address issues of risk/liability.

A broad range of activities and issues was identified in this tabulation, and this led to the question of where, if anywhere, attention should be focused. Those issues associated with study/learning abroad (organized through or in collaboration with the Office of

¹ See: <www1.umn.edu/systemwide/strategic_positioning/tf_final_reports/intl_univ_exec_summ.pdf>

² See “International collaborations bring rewards but many new challenges to overcome” in Report on Research Compliance, vol.4, no. 12, 2007

International Programs) are fairly well known and effective procedures are in place to handle them. As such, it appears that they may not merit additional attention. On the other hand, the university has a particular responsibility towards its students, who are in its charge while engaged in any university-sanctioned activity, and it must be assiduous in meeting this responsibility. We must therefore be sure that all issues of risk and liability associated with students studying, carrying out research, or working in association with a University program abroad are fully addressed³.

Issues of particular concern are those associated with establishing University-owned or University-operated sites in other countries, actions that are likely to increase as the recommendations of the International Task Force are implemented and as the international profile of the University is raised.

What follows is a description of how we compiled and used the information on issues of risk and liability, and the recommendations that stem from consideration of these issues in the context of current and predicted future international activities.

Issues of Risk and Liability associated with various International Activities:

The list of issues of risk and liability is lengthy and the types of international activity the University is engaged in are numerous. It seemed to the subcommittee that the most manageable and useful way of handling these was by presenting them in matrix form and to use color-coding to indicate how well particular issues were addressed in particular situations. This is done in Tables 1-4, which follow the body of the report. A separate table (Table 2) is provided for start-up programs, which are of special concern given the likely expansion of international programs in the near future.

The main focus of attention is on activities undertaken outside the country ("Outside US" in Tables 1 and 2); for completeness, however, we also consider issues related to international students and faculty members coming to the University of Minnesota ("Inside US" in the tables).

The long list of issues of risk and liability are those that have been identified in previous reports and documents prepared by and for the Office of the General Counsel, the Office of Internal Audits and the Office of Institutional Compliance. The first category, upon which much else depends is the basic one of *tracking contact information* – it is important to know where activities are taking place and where people are. The most extensive categories are *regulatory* (with separate sub-categories for compliance with US law and compliance with international and foreign laws) and *protection of the university*. In addition, there are *miscellaneous compliance concerns*. Support mechanisms that are

³ Good recent articles addressing problems associated with study abroad are "A Wide World of Risk," CHE, March 30, 2007 <chronicle.com/weekly/v53/i30/30a00101.htm>, and "Ghana fiasco shows risks of faculty-led study trips," CHE, November 23, 2007 <chronicle.com/weekly/v54/i13/13a00102.htm>

or should be in place to address the various issues of risk and liability are listed separately (Table 3).

At first glance, the tables may appear daunting. It should be remembered, however, that not all issues relate to every international activity and that the list of issues to be considered for a specific activity will be a subset of the full table. The tables should be used to develop risk footprints for particular situations. It should be clear that attention needs to be given in particular to those areas of the tables that are colored red. We have not attempted to prioritize these, except to note that top priority should be given to developing a system of tracking activities and individuals. In this regard, as in others, we note that the programs organized and managed by OIP have a good system in place for keeping track of its programs and the individual participants.

Recommendations:

Our recommendations are based on an underlying belief that the OIP should be the organization providing the thought leadership as well as the administrative services to achieve a truly international university. Challenges to this transformation of OIP include the requirement of considerable investment in improving or, in some cases, creating adequate infrastructure for an administrative platform as well as a culture shift to accept one central entity for guiding system wide strategic direction and, to some extent, system wide control. Our recommendations are, in summary:

- Outline core roles and responsibilities of OIP, colleges/campuses, departments, and individuals
- Improve international databases on:
 - a) Students and faculty engaged in individual or group activities abroad
 - b) International activities
- Provide for systematic review and support of new international programs
- Improve the OIP website
- Form a Standing Committee to assess and prioritize issues of risk and liability and make policy recommendations/decisions in areas not covered by existing policies.

1) Outline Core Roles and Responsibilities

We recommend that the roles and core responsibilities of OIP vis-a vis campuses, colleges, departments, individual faculty and staff as well as students be outlined. Such an exercise delineating the responsibilities of key parties in international activities will serve to educate those parties about their scopes of authority. In addition, it will help individuals understand the larger university picture of cooperation necessary to manage international activities best.

In its January 2006 report, the System wide Academic Task Force on Forging an International University recognized the need for enhanced institutional coordination. The Task Force identified three "immediate and indispensable steps" required to attain

institutional strategic goals, including: Presidential affirmance of the centrality of international concerns to the institution's goals; appointment of a Vice President and Dean for International Programs with system wide responsibilities; and a significant initial budget to transform teaching, research, and public engagement programs. The International Working Group represents progress on the first step. Now that the OIP leadership position has been elevated to vice president and dean rank, it is time to empower and actualize that level of leadership across the system.

To achieve the desired system wide coordination and accountability, it is important to delineate that OIP is responsible for the infrastructure, including a University vision as well as administrative services, while academic units are responsible for delivery. One particular role that the Task Force recommended and that will better enable coordination between OIP and the academic units is an assistant or associate dean of international programs.

Creation and clarification of University policies also will help propel the system wide role of OIP. Proposed revisions to the Board of Regents Policy on International Education (together with a suggested change of the Policy title to "International Engagement") are expected to be submitted for review and approval in the spring of 2008. Included in these revisions is a provision that the president or delegate develop and administer policies that, in compliance with all applicable laws and regulations, effectively promote and encourage a comprehensive program of international engagement. Once adopted, this revised policy should set the stage for a more uniform, comprehensive set of University-wide administrative policies and procedures regarding international activities.

Further analyzing and taking actions based on the risk footprint incorporated in this report will be tangible ways the Vice President and Dean for International Programs can realize her systemwide responsibilities. Determining where and how the University can best mitigate its international risks will require systemwide coordination and decision-making. As voiced below, the subcommittee recommends a standing committee be formed to assist in effectively managing the risks and liabilities associated with the University's international activities.

2) Improve International Databases

We recommend that the University develop a more robust database of participants, students and faculty engaged in individual or group activities abroad. In addition, we support the completion and maintenance of a database of international programs and activities.

The Vice Provost for International Affairs at the University of Cincinnati Mitch Leventhal recently noted at a November 2007 national conference, "Global businesses have no difficulty describing their global activity." Specifically he observed that global businesses:

- Know who among their people are abroad.

- Know where their people are.
- Know what their people are doing.
- Know the origin of their raw materials.
- Can describe their activities in key markets.
- Have a global strategy.
- Have country-specific strategies.

Without this knowledge about the scope of institutional international activities, Vice Provost Leventhal concluded, universities are unable to provide adequate means to maximize entrepreneurial and creative opportunity among faculty and for students.⁴

Through our risk assessment exercise, we noted activities not managed by OIP do not have the mechanisms to consistently track contact information for students, faculty, and staff in U of M programs as well as for students, faculty, and staff in affiliated programs, contracted programs, and single person activities. In contrast, activities managed by OIP generally have mechanisms in place to track students, faculty, and staff thereby generating more confidence in management of institutional risk in compliance with U.S. laws and regulations and international or country-specific laws and regulations for those activities.

The University will be significantly better positioned to achieve its goal of becoming a global university and situated to provide expertise for action in fostering global social and economic change if it can fully identify and link its wide variety of international activities. In its January 2006 report, the System wide Academic Task Force on Forging an International University recognized the need to strengthen commitment to faculty support including, for example, cross-disciplinary, cross-collegiate faculty research circles, international symposia, and intercollegiate competitive research grants (this initiative is already underway under the guidance of the International Scholarly Advisory Committee.) Having a complete database of system wide international activities is an important step in strengthening the commitment to faculty and fostering these types of collaborations that are fundamental to becoming a global university.

More pointedly from this subcommittee's perspective, a comprehensive database of international programs and activities is critical to managing the institutional risks and liabilities arising from those programs and activities. As noted above, our experiences and observations are that international activities managed by or known by the OIP have review and support mechanisms generally resulting in acceptable management of institutional risk.

Having an exhaustive list of international programs and activities will benefit colleges and faculty in several ways. For example, this will be an opportunity to promote programs better through comprehensive listing on the OIP website. In addition, faculty will be able to identify other faculty members teaching or conducting research in certain

⁴ More information on this presentation and the University of Cincinnati's international programs in general is available at <http://www.uc.edu/global/>

countries or regions. The database will be an important means to achieve the goals of the International Academic Initiatives subcommittee. While compiling comprehensive data on U of M international activities is a key first step in achieving our strategy to be a global institution, the possibilities for a database stretch beyond this fundamental information. The University of Cincinnati database (COSMIC or the Cincinnati Online System for Managing International Collaboration), in illustration of possible direction for a U of M database, holds or will hold data on overseas institutions, formal agreements, graduate student origins, faculty foreign pedigree, overseas alumni, education abroad patterns, faculty research overseas, faculty and staff travel activities, notes and reports, and foreign activities of corporate partners. Collection of this wide band of international-related data would greatly enable the University to act and communicate in a strategic manner to achieve its globalization goals.

3) Provide Systematic Review and Support of New International Programs

We recommend development of a system of review and support of campuses and colleges in starting up new international programs or activities. We recognize that creating a robust system to review and support new programs will require considerable effort, including establishing a working group and ensuring proper policies are in place. The details on creating such a system merit further work not allowed by the time constraints of this subcommittee, but we note that the International Scholarly Research Committee represents a significant step in this direction.

Focusing on a customer service approach will be the best way for OIP to gain academic unit acceptance of heightened central involvement in their international activities; yet, the risks associated with creation of new international programs are too high to allow coordinate campuses and colleges to act independently without fully understanding whether or not they are adequately addressing start up issues. Some mechanism to ensure new international programs are complying with laws and regulations of the host country is necessary. Experience demonstrates campuses and colleges are inconsistent in tapping into OIP and OGC as resources to assist in thorough appropriate guidance in initiation of new international activities. Doing it the right way from the start prevents costly problems from developing.

The OGC has developed a checklist of issues new programs need to address. We suggest broader communication of this tool as a first step in ensuring new programs are set up well. Education of chancellors, vice chancellors, deans, and associate deans about the issues surrounding start up of international programs will help them in appreciating the complexity of such undertakings. The next step for OIP is building the resources to provide services supporting proper launching of new international activities. More information is necessary, and this will likely require additional administrative support. We envision an individual providing this support in a liaison role working with all the coordinate campuses and colleges as well as coordinating with other supporting services, such as the OGC.

We recognize that initiation of a new program in a country where no other University program exists is complicated and costly. Such circumstances almost always necessitate retention of local legal counsel in that country. Because utilization of legal services is a likely necessity in start up situations, the cost of providing such services must be included among the start-up costs. The University may wish to consider building such services into the cost pool rather than charging units for them.

In order to ensure new international activities are being undertaken in the most responsible manner, we recommend adoption of a University-wide administrative policy establishing a review process with approval by the Associate Vice President and Dean of International Programs. This process can be integrated in or new administrative policy and procedures can be modeled somewhat after the University policy *Review of Proposals for New and Changed Academic Programs* and procedures *Development, Review, and Approval of Academic Programs*.

<http://process.umn.edu/groups/ppd/documents/Policy/academicprogrampol.cfm> and

<http://process.umn.edu/groups/ppd/documents/procedure/academicprogramproc1.cfm>

Consideration should be given to how the OIP approval of international activities might be included in the review process under the existing policy and procedures. We are unclear on how that is functioning currently, and we also are uncertain whether that policy encompasses all the international activities that should be reviewed.⁵

4) Improve OIP Website

We recommend that the OIP website be expanded and improved, with more comprehensive information on policies, procedures, and guidance, especially for faculty and staff members. Styling the website as a one-stop site would promote its usage as an important resource site and key supportive mechanism for individuals engaged in international activities. We think this is a key first step in building the necessary administrative platform to achieve consistent quality programs with well managed risks. Beginning with a service orientation is a good way to gain voluntary compliance with requirements as well being a practice that best serves both the institution and its members.

⁵ The policy *Review of Proposals for New and Changed Academic Programs* includes these definitions:

Academic Program:

Credit-bearing degrees, majors, minors, certificates, and formal tracks that appear on official University of Minnesota transcripts.

Articulation Agreement:

Formal arrangements to transfer academic credits between another institution and the University of Minnesota.

Academic Exchange:

Formal two-way relationships involving students, faculty, or both, between another institution and the University of Minnesota.

Our subcommittee found the information available on the Learning Abroad Center portion of the OIP website to be extremely informative for students. The website includes guidance related to alcohol, drugs, and study abroad; information and links to key academic policies; description of power of attorney; and listing of student rights and responsibilities. We recommend that the *Learning Abroad Center Policy on Student Conduct in Education Abroad Opportunities* and the *Guidelines for Seeking approval to pursue Education Objectives in Countries Listed on the State Department Travel Warning List* be routed through the University Policy Office to become official University policies or procedures. The information then will be available through the University's policy website and linked to from related policies thereby having greater visibility and accessibility for University community members.

Developing similarly informative web content for faculty and staff members participating in international activities would help educate them about services as well as responsibilities and best practices. Such a website should link to non-OIP information and services that may be applicable and helpful in conducting international activities, such as the Travel Services program administered by Purchasing Services, in addition to key administrative policies and procedures touching on international activities: *Accepting and Depositing University Revenue*; *Accessing UWide Banking Services*; *Utilizing University of Minnesota Bank Accounts*; *Opening an International Bank Account*; *Maintaining an International Bank Account*; and *Closing an International Bank Account*. URLs for all of these may be found in the Appendix.

Coordinate campuses' and collegiate websites should be closely linked to the OIP website. This would ensure consistent information on University-wide policies and procedures for international activities; campuses and colleges can supplement the information with specific program information. Coordination with information being provided by the International Medical Education and Research Program in the Medical School and the Graduate School also is important.

5) Form Standing Committee and Make Policy Decisions

We recommend that a standing committee be formed to assist in addressing issues of risk and liability management. This is a good way to ensure these issues are handled on an ongoing basis and in a consistent and informed way, which is especially important as international activities expand in an environment of constant change. Such a committee also could help prioritize work in this area. Data that are collected concerning risks associated with various activities could be reviewed and utilized in decision making.

Some risk and liability issues will require the University to make policy decisions. We recommend that OIP consult with others in making these decisions, and this is a role a standing committee could play.

The risk footprint for institutional concerns related to international activities and represented in the tables illustrates the risk areas where policy decisions likely are necessary. These areas include money laundering regulations for activities outside the

United States; import controls for material transfer – safety issues and prohibited materials outside the United States; provision of disability accommodations for participation in activities outside the United States; and handling of situations where students on University programs outside the United States refuse to take medications, with possible resulting harm to themselves.

The Tables

In Tables 1 and 2, types of international activity are set out as columns and the list of risk/liability concerns or issues set out as rows, with both rows and columns being organized in a hierarchal fashion. The subcommittee collectively considered each box or cell in these tables and assessed the degree to which each issue of risk/liability is understood for each activity and the degree to which mechanisms (listed in Table 3) are in place to address it. The result is expressed using color-coding. *Green* indicates that the subcommittee considered the issue to be adequately handled by current arrangements; *red* indicates that the subcommittee considered the issue to be unaddressed or poorly handled; and *yellow* indicates issues not adequately handled. *Grey* is used where issues do not apply.

In constructing the table, categories were specified as follows. Considering first the columns, for activities or programs outside the country ("Outside US"), a distinction is made between those involving single individuals (such as a faculty member carrying out research or a student in an internship) and those involving groups. In the latter situation, there is a distinction between U of M programs and those programs with which the U of M has a formal affiliation (such as the programs run by AustraLearn, Butler University and CIEE for study abroad) or with which we have a contractual arrangement. Other categories should be self-explanatory.

Turning to the rows, the first category is the basic one of *tracking contact information*. The most extensive categories are *regulatory* (with separate sub-categories for compliance with US law and compliance with international and foreign laws) and *protection of the university*. In addition, there are *miscellaneous compliance concerns*. In each case, there are varying numbers and levels of sub-category. A key distinction that appears throughout the table is between activities that are "managed by OIP" and those that are "not managed by OIP." The latter include any activity that is carried out independently of OIP and that does not utilize OIP resources.

Two colors in addition to green, red, yellow and grey (described above) are utilized in the tables. *Blue* is used to indicate those few categories for which an assessment must be made of how to approach the issue. For instance, how do we address the issue of making accommodations for students with disability in study abroad programs? While the program originates in the U.S., do the overseas facilities need to comply with U.S. disability laws and U of M policies? *Peach* is used to indicate two issues that the subcommittee felt were beyond its scope. These are the question of food safety and of dealing with pandemics. The subcommittee notes that a task force has been appointed to address the latter issue with specific focus on influenza⁶.

In the list of support mechanisms (Table 3) that are or should be in place to address the various issues of risk and liability, a set of columns is added on the right hand side to indicate the issue or issues for which each mechanism applies.

⁶ See: Pandemic Influenza Preparedness Workplan and Progress Report <
www.ahc.umn.edu/img/assets/19701/Pandemic_Influenza_Preparedness_Workplan_and_Progress_Report_091506.pdf

An 'x' in the first column of Table 1 indicates those issues that are particularly germane to the startup of new programs, and those that have tax implications indicated by an 'x' in the second column.

Table 4 is a list of issues that may serve as a checklist for individuals planning international activities.

Table 1

Institutional Concerns - Existing Programs																			
New Program Issue	Impacts Tax Concern	Location		Outside US														Inside US	
		Number of Personnel Involved		Group of Students, Faculty or Staff Involved in Program														Single Student, Faculty or Staff Involved in Program	
		Sponsor		U of M Program								Affiliated Program		Contracted Program		U of M Program			
		Function		Teaching/learning		Research		Outreach											
		Role		Student	Faculty & Staff	Contracted Local Staff	Student	Faculty & Staff	Contracted Local Staff	Student	Faculty & Staff	Contracted Local Staff	Student	Faculty & Staff	Student	Faculty & Staff	Student	Faculty	
Risk/Issue																			
x	Tracking Contact Information	Managed by OIP Not Managed by OIP	Green		Green		Green		Green		Green		Green		Green		Green		
			Red		Red		Red		Red		Red		Red		Red				
x	Regulatory	Compliance with US Laws Work/Immigration Permits General Compliance with Sevis/Patriot Act Money Laundering Regulations Export Controls Materials Information on PC or paper Financial Transactions with certain groups Communication of Information																	
x	Import Controls	Material Transfer-Safety Issues Prohibited Material Foreign/Corrupt Practice Act- Labor and Employment Laws US Research Requirements in Foreign Location HIPAA-Patient Consent Controlled Substance Human Subject Protection Animal Protection Other Disability Accommodations Travel Restrictions	Blue		Blue		Blue		Blue		Blue		Blue		Blue		Blue		
			Red		Red		Red		Red		Red		Red		Red		Red		
x	Tax Issues	US Payroll Tax Concerns Income Tax Concerns	Green		Green		Green		Green		Green		Green		Green		Green		
			Red		Red		Red		Red		Red		Red		Red				
			Yellow		Yellow		Yellow		Yellow		Yellow		Yellow		Yellow				

Table 1

Institutional Concerns - Existing Programs																				
New Program Issue	Impacts Tax Concern	Outside US												Inside US						
		Group of Students, Faculty or Staff Involved in Program												Single Student, Faculty or Staff Involved in Program		U of M Program				
		U of M Program																Affiliated Program		Contracted Program
		Teaching/learning				Research				Outreach										
		Student	Faculty & Staff	Contracted	Local	Student	Faculty & Staff	Contracted	Local	Student	Faculty & Staff	Contracted	Local							Student
Risk/Issue																				
X	X	Sales Taxes	Long Term Stay																	
			Short Term Stay																	
		Property Taxes	Long Term Stay																	
			Long Term Stay																	
		Compliance with International/Country Laws and Regulations	Long Term Stay																	
			Work/Immigration Permits																	
		Local Accreditation - Degree Granting Authority - Education Authority	Managed by OIP																	
			Not Managed by OIP																	
		Foreign National Registration Requirements																		
		Export Controls																		
		Labor and Employment Laws																		
		Workers' Compensation																		
		Definition of employee vs. contractor status																		
		Definition of when person is employee of country visiting vs.visitor																		
Definition of employees considered foreign official																				
Minimum Wage Requirements																				
Workplace Safety																				
Child Labor Law Issues																				
Labor Hour/Vacation Limitations																				
Pension Funding Requirements																				
Benefits																				
Foreign Registration Requirements																				
Tax																				

Table 1

Institutional Concerns - Existing Programs																																																														
New Program Issue	Impacts Tax Concern	Location			Outside US														Inside US																																											
		Number of Personnel Involved			Group of Students, Faculty or Staff Involved in Program														Single Student, Faculty or Staff Involved in Program																																											
		Sponsor			U of M Program								Affiliated Program			Contracted Program			U of M Program																																											
		Function			Teaching/learning				Research				Outreach																																																	
		Role			Student	Faculty & Staff	Contracted Local Staff	Student	Faculty & Staff	Contracted Local Staff	Student	Faculty & Staff	Contracted Local Staff	Student	Faculty & Staff	Student	Faculty & Staff	Student	Faculty & Staff	International Student	International Faculty																																									
Risk/Issue																																																														
X	X	X	X	X	X	X	X	X	X	X	X	X	X	X	X	X	X	X	X																																											
																				Payroll Tax	Short Term Stay																																									
																						Long Term Stay																																								
																							Income Tax	Short Term Stay																																						
																									Long Term Stay																																					
																										Sales Taxes	Short Term Stay																																			
																												Long Term Stay																																		
																													Ad Valium Tax - Property -Licensing	Short Term Stay																																
																															Long Term Stay																															
																																Import Duties and Taxes	Short Term Stay																													
																																		Long Term Stay																												
																																			Exp 1	Short Term Stay																										
																																					Long Term Stay																									
																																						Unemployment & Work Comp	Short Term Stay																							
																																								Long Term Stay																						
																																									Tax Treaty Compliance	Short Term Stay																				
																																											Long Term Stay																			
																																												Miscellaneous Compliance Concerns																		
																																												Lobbying																		
																																												Conflict of Interest																		
Human Trafficking																																																														
Drug Trafficking																																																														
Terrorism Financing																																																														
Research Requirements																																																														
Protection of University																																																														
Legal Liability																																																														
Staff - Student Safety																																																														
Health																																																														
Immunizations																																																														
Access & Quality to Health Service																																																														
Food Safety																																																														

Table 1

Institutional Concerns - Existing Programs																				
New Program Issue	Impacts Tax Concern	Location	Outside US														Inside US			
		Number of Personnel Involved	Group of Students, Faculty or Staff Involved in Program														Single Student, Faculty or Staff Involved in Program			
		Sponsor	U of M Program								Affiliated Program		Contracted Program				U of M Program			
		Function	Teaching/learning			Research			Outreach											
		Role	Student	Faculty & Staff	Contracted Local Staff	Student	Faculty & Staff	Contracted Local Staff	Student	Faculty & Staff	Contracted Local Staff	Student	Faculty & Staff	Student	Faculty & Staff	Student	Faculty & Staff	International Student	International Faculty	
		Risk/Issue																		
		Pandemic Students who refuse to take medication, with resulting harm to the student																		
X		Physical Security																		
X		Lack of education to traveler of risks	Managed by OIP																	
X			Not Managed by OIP																	
X		Secure Transportation	Managed by OIP																	
X			Not Managed by OIP																	
X		Secure Housing	Managed by OIP																	
X			Not Managed by OIP																	
X		Secure Educational or Research Site	Managed by OIP																	
X			Not Managed by OIP																	
X		Secure Interactions with Local People	Managed by OIP																	
X			Not Managed by OIP																	
X		Disability Accommodation	Managed by OIP																	
X			Not Managed by OIP																	
X		Human Trafficking	Managed by OIP																	
X			Not Managed by OIP																	
		Changing Political Climate																		
		Communication - State Dept Travel Alerts	Managed by OIP																	
			Not Managed by OIP																	
		Emergency Evacuation Procedures	Managed by OIP																	
			Not Managed by OIP																	
		Family Notification	Managed by OIP																	
			Not Managed by OIP																	
		Protection of University Investments																		

Table 1

Institutional Concerns - Existing Programs																						
New Program Issue	Impacts Tax Concern	Location	Outside US																Inside US			
		Number of Personnel Involved	Group of Students, Faculty or Staff Involved in Program														Single Student, Faculty or Staff Involved in Program					
		Sponsor	U of M Program										Affiliated Program		Contracted Program				U of M Program			
		Function	Teaching/learning				Research				Outreach											
		Role	Student	Faculty & Staff	Contracted Staff	Local	Student	Faculty & Staff	Contracted Local Staff	Student	Faculty & Staff	Contracted Local	Staff	Student	Faculty & Staff	Student	Faculty & Staff	Student	Faculty & Staff	International Student	International Faculty	
		Risk/Issue																				
x		Cash - Bank Accounts																				
		Equipment																				
x		Sponsored Funding Restrictions																				
		Liability Insurance Requirement																				
		Titling																				
		Equipment																				
x		Capital Goods																				
		Sponsored Funding Restrictions																				
		Liability Insurance Requirement																				
		Titling																				
x		Property - Buildings																				
		US Funding Restrictions																				
x		Contracts and Agreements																				
		(Appropriate terms, compliance with local laws, address performance issues, filing/documentation)																				
		P&L Issues																				
		Expenses																				
		Processing Expenses																				
		Flow down to Foreign Research Partners																				
		Facilitation Fees																				
		Revenues																				
		Tuition/Fee Payments																				
		Run through PS																				
		Not run through PS																				
		Miscellaneous																				
		Currency																				
		Exchange Rate																				
		Rules on Movement of Cash																				
		Protection of University Reputation																				
		Quality of Educational or Research Experience																				
		Managed By OIP																				
		Not Managed by OIP																				
		Student's negative impact on education program																				

Table 1

Institutional Concerns - Existing Programs																				
New Program Issue	Impacts Tax Concern	Location	Outside US														Inside US			
		Number of Personnel Involved	Group of Students, Faculty or Staff Involved in Program														Single Student, Faculty or Staff Involved in Program		U of M Program	
		Sponsor	U of M Program										Affiliated Program		Contracted Program					
		Function	Teaching/learning				Research			Outreach										
		Role	Student	Faculty & Staff	Contracted Local Staff	Student	Faculty & Staff	Contracted Local Staff	Student	Faculty & Staff	Contracted Local Staff	Student	Faculty & Staff	Student	Faculty & Staff	Student	Faculty & Staff	International Student	International Faculty	
Risk/Issue																				
		Disruptive behavior by student																		
		Students AWOL																		
		Managed By OIP																		
		Not Managed by OIP																		
		Programs not in compliance with U standards																		
		Managed By OIP																		
		Not Managed by OIP																		

N/A
Poor Controls
Marginal Controls
Good Controls
??????
Out of Scope

Table 2

New Program Start-up Concerns

Location			Outside US									
Managed By			OIP					Not Managed by OIP				
Sponsor			U of M Program			Affiliation	Contracted Program	U of M Program			Affiliation	Contracted Program
Function			Education	Research	Outreach			Education	Research	Outreach		
Risk/Issue	Xref to Support Mechanisms											
How support University Strategic Goals	A,Y	M,O,T,U										
Source of Funding	A,Y											
Oversight Strategy	A,Y	M,O,Q,U										
Tracking Contact Information	A,E,F,G,Y	B										
Regulatory												
Compliance with US Laws	Y											
Work/Immigration Permits	A,B,E,F,G	D,K										
Money Laundering Regulations	E,F,G	Q										
Export Controls	A,E,F,G	Q										
Materials												
Information on PC or paper												
Financial Transactions with certain groups												
Communication of Information												
Import Controls	A,E,F,G	Q										
Safety Issues		M										
Prohibited Material		M										
Foreign/Corrupt Practice Act-	F,G	M,Q										
Labor and Employment Laws	A,C,F,G											
US Research Requirements in Foreign Location	A,C,F,G	Q,R										
HIPAA-Patient Consent												
Controlled Substance												
Human Subject Protection												
Animal Protection												
Other												
Disability Accommodations	F,G	B,M										
Travel Restrictions	A,E,F,G	B,I,J,M										
US Tax Issues												
US Payroll Tax Concerns	A,C,E,F,G											
Long term stay												
Income Tax Concerns	A,C,E,F,G	S										
Long term stay												
Sales Taxes	A,C,E,F,G	S										
Long term stay												
Property Taxes	A,C,E,F,G											
Long term stay												
Compliance with International/Country Laws and Regulations	Y											
Work/Immigration Permits	A,C,E,F,G	B,D,M,Q,R										

Table 2

New Program Start-up Concerns										
Location			Outside US							
Managed By			OIP				Not Managed by OIP			
Sponsor			U of M Program			Affiliation	Contracted Program	U of M Program		
Function			Education	Research	Outreach			Education	Research	Outreach
Risk/Issue			Xref to Support Mechanisms							
Local Accreditation - Degree Granting Authority - Education			A,E,F,G	Q,R						
Foreign National Registration Requirements			A,C,E,F,G	O,Q,R						
Export Controls			A,F,G	Q,R						
Intellectual property and publication rights										
Labor and Employment Laws			A,F,G	Q,R						
Defining Employee or Contractor Relationship			C							
Workers' Compensation				V						
Definition of employee vs. contractor status										
Minimum Wage Requirements										
Workplace Safety				H,N						
Child Labor Law Issues										
Labor Hour/Vacation Limitations			C							
Pension Funding Requirements										
Benefits			C							
Foreign Registration Requirements			A,E,F,G	Q,R,V						
Autonomy rights										
Tax			A,X,Y	Q,R						
Payroll Tax			C	B						
Income Tax			C	O,S						
Sales Taxes			C							
Ad Valium Tax - Property -Licensing			C							
Import Duties and Taxes			C							
Export Taxes			C							
Unemployment & Work Comp			C							
Tax Treaty Compliance			C	O						
Miscellaneous Compliance Concerns			U,Y							
Lobbying			A,E,F,G	M,R						
Conflict of Interest			A,E,F,G	M,O,P,Q,R						
Human Trafficking			A,E,F,G							
Drug Trafficking			A,E,F,G							
Terrorism Financing			A,E,F,G							
Research Requirements			A,F,G	O,P,Q,R						
Contract Issues			Y							
Capstone- Affiliation - Separate entity			A,U,X	O,P,Q						
Scope of work										
Appropriate Terms				O,P,Q						
Limitation of Liability				M						
Insurance/Indemnification			E,F,G,X,Y	M,N,Q						

Table 2

New Program Start-up Concerns

Location		Outside US									
Managed By		OIP					Not Managed by OIP				
Sponsor		U of M Program			Affiliation	Contracted Program	U of M Program			Affiliation	Contracted Program
Function		Education	Research	Outreach			Education	Research	Outreach		
Risk/Issue	Xref to Support Mechanisms										
Engaging Foreign Counsel	A,W,Y R										
Assets	A,Y										
Bank Account	C O,Q										
Asset Ownership	C O										
Capital Material	A,X,Y										
Titling of assets such as real estate or autos	C,E,F,G O,P,Q										
Issues related to Federal Grants	O,Q										
Acquire necessary materials	A,U,X O										
Import rights - supplies and equipment	E,F,G,Y L,P										
Space	C L,P										
Equipment	E,F,G L,P										
Supplies	E,F,G										
Drugs related to program if medical program	Y										
Local staff	C,E,F,G										
Housing	E,F,G L,P										
Shipping	E,F,G										
Communication											
Phone connections	E,F,G										
Internet connections	E,F,G										
Necessary Institutional Approvals	A,U,Y										
Compliance with University Standards	C,E,F,G										

N/A
Poor Controls
Marginal Controls
Good Controls
??????
Out of Scope

Table 3

Key Support Mechanisms		Usage of Mechanism	Tracking Contact Information	Program Oversight Strategy & Institutional Approvals	Funding Issues	Compliance with US Laws	Compliance with Laws and Regulations of Country Program In	Tax Issues	Infrastructure Needs in Country Visiting	Travel Support	Local Staffing Support	Legal Support	Medical Concerns for Faculty, Staff or Students Traveling Abroad	Financial Activity
A	Complete inventory of international programs Name of program/activities and unit sponsoring program	OGC is in the process of attempting to inventory the programs managed by OIP	X	X	X	X	X	X	X	X	X	X	X	
B	Complete list of University students, faculty and staff whose traveling is related to a University program or University sponsored program Tracking Contact Information	Marginally in place - Only for individuals involved in educational programs supported by OIP	X	X		X	X			X			X	
C	Tax guide from University Tax department for University students, faculty and staff whose traveling is related to a University program or University sponsored program	Partially developed but not disseminated/readily available						X						
D	Assistance from international program office for visa requirement in the US to ensure compliance with SEVIS	In place				X								
E	Orientation program for faculty taking students abroad	Partially implemented - OIP provides program for programs supported by OIP and may occasional provide a more general orientation program			X	X	X	X	X	X	X	X		
F	General orientation program for University students, faculty and staff traveling related to a University program or University sponsored program	OIP occasionally provides general programs to coach staff and faculty on travel issues if considering establishing an International program (including small groups traveling related to education, research or outreach)			X	X	X	X	X	X	X	X		
G	OIP Web site for University students, faculty and staff traveling related to a University program or University sponsored program	OIP has developed some documentation but it could be expanded and organized to facilitate specific types of information needs via a decision tree concept			X	X	X	X	X	X	X	X		
H	Insurance -Medex, CISI	It is in place but may not be well communicated to individuals involved in programs not associated with programs supported by OIP							X			X	X	
I	State Department Travel Alerts	In place but may not be well communicated to individuals involved in programs not associated with programs supported by OIP								X				
J	Emergency Evacuation Procedures	In place but may not be well communicated to individuals involved in programs not associated with programs supported by OIP								X				
K	International programs coordinates visas for foreign students and visiting faculty	In place and well managed by OIP	X							X				
L	Property and Liability Insurance	Limited implementation -Mainly for programs supported by OIP		X					X			X		
M	Waivers- Releases	Some standard forms exist but use of the forms is voluntary except for programs supported by OIP										X	X	
N	Health Care Insurance -Medex, CISI Student prove got global insurance Track and trend when travelers in U programs become injured or ill	In place for employees In place for programs supported by OIP Data may be captured by third party administrators of U of M health insurance program but trends are not being developed or communicated to U of M management											X	
O	Control of Bank Accounts Power of Attorney Non-compliance with Treasury Dept filing requirements is a personal, not institutional, risk - fine is to the person Controllers Office has list of U of M international bank accounts	Limited implementation -Mainly occur when program is discovered to have problems or for a program that is expected to become very lame			X			X				X		X

Table 3

Key Support Mechanisms		Usage of Mechanism	Tracking Contact Information	Program Oversight Strategy & Institutional Approvals	Funding Issues	Compliance with US Laws	Compliance with Laws and Regulations of Country Program In	Tax Issues	Infrastructure Needs in Country Visiting	Travel Support	Local Staffing Support	Legal Support	Medical Concerns for Faculty, Staff or Students Traveling Abroad	Financial Activity
P	Control of assets in another country Insurance Title of assets	Limited implementation - Mainly occur when program is discovered to have problems or for a program that is expected to become very large						X	X			X		X
Q	Standard Contract Forms Respective party responsibilities Establish standard indemnification from sponsoring program of U of M Insurance requirements	Limited implementation - Mainly occur when program is discovered to have problems or for a program that is expected to become very large		X		X	X	X				X		X
R	Use of qualified local counsel based on OGC review of options	Limited implementation - Mainly occur when program is discovered to have problems or for a program that is expected to become very large				X	X	X				X		
S	Tuition payments from international programs run through PS	Partially implemented - Mainly in place for educational programs managed by OIP						X						X
T	Post trip program evaluations	Partially implemented - Mainly in place for educational programs managed by OIP		X										
U	New Program Liability MOUs begin to address liability issues.	Limited implementation - Forms are mainly used when program is discovered to have problems.		X	X	X	X	X	X	X	X	X	X	X
V	OGC Forms - Define what a entity abroad is	Limited implementation - Forms are mainly used when program is discovered to have problems.		X	X	X	X					X		
W	Expenses processed through CUFS improves control expense and helps ensure compliance with University Standards	Most expenses go through CUFS - Programs that involve travel by a single or small number of people which are allocated funds at the beginning of a trip are more at risk of expenses not being processed through CUFS			X	X	X							X
X	Material Transfer Agreement	Limited implementation - Agreements are mainly used when program is discovered to have problems.				X	X	X				X		
Y	Start up check list developed by OGC and modeled after NACUA list	Very limited use		X		X	X	X	X	X	X	X	X	X

Table 4

Personal Concerns For Individuals Traveling In Association with the University

Risk/Issue

Personal Safety

Health

- Immunizations
- Access to Health Service
- Access to Needed Medications
- Quality of Health Services
- Food Safety
- Pandemic

Physical Security

- Secure Transportation
- Secure Housing
- Secure Educational or Research Site
- Secure Interactions with Local People
- Changing Political Climate
- State Dept Travel Alerts

Family emergencies

- Keeping informed
- Expedited travel

Quality of Educational or Research Experience

Regulatory

- Compliance with US Laws
 - Work/Immigration Permits
 - Compliance with Sevis
- Export Controls
- Compliance with International Laws
 - Work/Immigration Permits
 - Export Controls

Legal Liability

- Signing Authority on Bank Accounts
- Tax Liability

Protection of University Assets-Individual Responsible For

- Cash
- Equipment
- Capital Goods

Protection of University Reputation

Tax Issues

- Individual Income/Withholding
- Property
- Vat

Insurance/Indemnification

- Student - Releases Waivers
- Workers' Compensation

APPENDIX: ANNOTATED LIST OF EXISTING POLICIES, PROCEDURES, DOCUMENTS, WEBSITES, FILES, REPORTS, ETC THAT RELATE TO INTERNATIONAL RISK AND LIABILITY

Board of Regents Policy: International Education:

<http://www1.umn.edu/regents/policies/academic/InternationalEduc.pdf>

Senate Policy:

International Activities and Exchanges:

<http://policy.umn.edu/groups/senate/documents/policy/internationalactexc.html>

Administrative Policies

Education Abroad: Addressing Health and Safety Risks

<http://policy.umn.edu/groups/ppd/documents/policy/edabroadpol.cfm>

Procedures:

Preparing for Education Abroad Opportunities:

<http://policy.umn.edu/groups/ppd/documents/procedure/EdAbroadProc1.cfm>

Suspending Education Abroad Opportunities

<http://policy.umn.edu/groups/ppd/documents/procedure/edabroadproc2.cfm>

Related Information in the Review of Proposals for New and Changed Academic Programs

Review of Proposals for New and Changed Academic Programs. There is an international reference in one of the procedures and the form for this policy

Procedure: Development, Review and Approval of Academic Programs

<http://policy.umn.edu/groups/ppd/documents/procedure/academicprogramproc1.cfm>

Form: Academic Proposal:

<http://policy.umn.edu/groups/ppd/documents/form/academicproposal.pdf>

“Outside Minnesota – U.S. and International Degree Programs for all campuses: also requires institutional review. Please contact the Office of the EVPP for additional information.”

Learning Abroad Center Policies

<http://www.umabroad.umn.edu/policies/index.html>

Cancellation Policy

<http://www.umabroad.umn.edu/policies/cancellationAndRefund.html>

Alcohol, Drugs and Study Abroad

<http://www.umabroad.umn.edu/policies/alcoholAndDrugs.html>

Academic Policies

<http://www.umabroad.umn.edu/policies/AcademicPolicies.html>

Power of Attorney

<http://www.umabroad.umn.edu/policies/powerOfAttorney.html>

Student Rights and Responsibilities

<http://www.umabroad.umn.edu/policies/studentRightsAndRespon.html>

Links to the Administrative Policy – Drug Free Workplace, and Board of Regents Policy – Student Conduct Code, and on Sexual Harassment and Administrative Policy – Sexual Assault/Relationship Violence that implements this BOR policy. These aren't specific to international situations.

Policy on Student Conduct in Education Abroad Opportunities

<http://www.umabroad.umn.edu/policies/studentConduct.pdf>

Instructions and Forms for Accepted Students at the Learning Abroad Center:

<http://www.umabroad.umn.edu/programs/accept.html>

International Health Insurance:

<http://www.umabroad.umn.edu/healthSafety/healthInsurance.html>

Office of International Programs Website Resources

<http://www.international.umn.edu/>

Travel Approvals and Safety:

<http://www.international.umn.edu/travel/>

<http://www.international.umn.edu/travel/travelwarning/>

Guidelines for Seeking Approval to Pursue Educational Objectives in Countries Listed on the State Department Travel Warning List

http://www.international.umn.edu/travel/travelwarning/EASC_guidelines_Oct06.pdf

Miscellaneous Travel Resources

U of MN Travel Website:

<http://travel.umn.edu>

Traveling on University Business Policy:

<http://policy.umn.edu/groups/ppd/documents/Policy/travel.cfm>

Procedure – Arranging Travel:

http://policy.umn.edu/groups/ppd/documents/procedure/arranging_travel.cfm

Appendix: Travel Assistance

<http://policy.umn.edu/groups/ppd/documents/appendix/travelappc.cfm>

Appendix: Traveling on University Business Rates

http://policy.umn.edu/groups/ppd/documents/rates/travel_rates.cfm

Appendix: Reimbursable/Non-reimbursable Travel Expenses

<http://policy.umn.edu/groups/ppd/documents/appendix/travelappi.cfm>

Appendix: Commercial Vehicle Rental

<http://policy.umn.edu/groups/ppd/documents/appendix/travelappj.cfm>

FAQ on Travel:

http://policy.umn.edu/groups/ppd/documents/faq/faq_travel.cfm

Financial Policies and Related Information

Accepting and Depositing Revenue:

<http://policy.umn.edu/groups/ppd/documents/policy/revenue.cfm>

Policy Statement: The President of the University has delegated all University domestic, and international banking authority to the Treasurer of the University of Minnesota. Any banking or credit relationship established for the purpose of collecting or depositing University funds or uses the University name or tax identification number must be approved by the University Treasurer.

Accessing Uwide Banking Services:

http://policy.umn.edu/groups/ppd/documents/policy/banking_pol.cfm?view=all

References to international bank accounts in statement, reason, definitions and responsibilities.

Utilizing University of Minnesota Bank Accounts:

http://policy.umn.edu/groups/ppd/documents/policy/bankaccount_pol.cfm?view=all

Financial Procedures

Opening an International Bank Account

http://policy.umn.edu/groups/ppd/documents/procedure/bankaccount_proc4.cfm

Maintaining an International Bank Account

http://policy.umn.edu/groups/ppd/documents/procedure/bankaccount_proc5.cfm

Closing an International Bank Account

http://policy.umn.edu/groups/ppd/documents/procedure/bankaccount_proc6.cfm

University of Minnesota-Duluth Policies

UMD and IEO Policies:

<http://www.duluth.umn.edu/ieo/additional/policies.htm>

Cancellation Policy:

<http://www.duluth.umn.edu/ieo/additional/policies.htm>

Refund Policy:

<http://www.duluth.umn.edu/ieo/additional/refundpolicy.htm>

University of Minnesota-Morris Policies

Financial Aid for Study Abroad

<http://www.morris.umn.edu/financialaid/studyabrd.html>

Center for International Programs

<http://www.morris.umn.edu/cerp/abroad/>

University of Minnesota-Crookston Policies

Study Abroad

<http://www.umcrookston.edu/services/studyabroad/>